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Promotion and protection of human rights: implementation of human rights instruments

United Nations Voluntary Fund for Victims of Torture

Report of the Secretary-General

Summary

The present report, which is submitted in accordance with General Assembly resolutions 36/151 and 63/166, describes the recommendations for grants to beneficiary organizations that were adopted by the Board of Trustees of the United Nations Voluntary Fund for Victims of Torture at its twenty-ninth and thirtieth sessions. The report also provides information on policy decisions adopted by the Board in implementation of the recommendations made by the Office of Internal Oversight Services (see E/CN.4/2005/55) with a view to further enhancing the activities of the Fund.

* A/64/150.

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I. Introduction

A. Submission of the report

1. The present report was prepared in accordance with the arrangements approved by the General Assembly in its resolution 36/151, by which it established the United Nations Voluntary Fund for Victims of Torture, and Assembly resolution 63/166. It presents the recommendations adopted by the Board of Trustees of the Fund at its twenty-ninth and thirtieth sessions, held in Geneva from 13 to 17 October 2008 and from 4 to 6 February 2009. The United Nations High Commissioner for Human Rights approved these recommendations on behalf of the Secretary-General. The present report complements the report on the activities of the Fund submitted to the Human Rights Council at its tenth session in January 2009 (A/HRC/10/40).

B. Mandate of the Fund

2. The Fund receives voluntary contributions from Governments, non-governmental organizations and individuals. In accordance with the practice established by its Board of Trustees in 1982, the Fund provides grants to non-governmental organizations that submit projects involving medical, psychological, social, financial, legal and humanitarian or other forms of assistance to torture victims and their relatives.

C. Board of Trustees

3. The Secretary-General administers the Fund through the Office of the United Nations High Commissioner for Human Rights with the advice of a Board of Trustees composed of five members acting in their personal capacity and appointed by the Secretary-General with due regard to equitable geographical distribution and in consultation with their Governments. In October 2008, the Secretary-General reappointed the following members for a final period of three years: Krassimir Kanev (Bulgaria), Savitri Goonesekere (Sri Lanka), Joseph Oloka-Onyango (Uganda), and Derrick Pounder (United Kingdom of Great Britain and Northern Ireland), and appointed Mercedes Doretti (Argentina) for a three-year term, renewable once.

4. The Board held its twenty-ninth session in Geneva from 13 to 17 October 2008 to examine applications for funding and make recommendations on grants to be allotted to beneficiary organizations for the period from January to December 2009.[1] In addition, at its thirtieth session, held from 4 to 6 February 2009, the Board discussed mainly policy issues. At that session, the Board also awarded grants for projects from priority regions which had not been decided upon at its twenty-ninth session owing to the insufficient information available at that time, as well as for projects from priority regions that had applied in the period between sessions.

[1] See A/HRC/10/40.

D. Admissibility criteria

5. Project admissibility criteria, outlined in the Fund's guidelines, require that a project be presented by a non-governmental organization. The beneficiaries must be direct victims of torture and/or direct family members. Priority is given to projects providing direct assistance to torture victims. This could consist of medical or psychological assistance; help with social or financial reintegration through vocational training for victims; or legal assistance to seek redress for victims or members of their families or to process asylum-seekers' claims. Depending on the available funding, the Fund may finance projects to organize training programmes, seminars or conferences to allow health-care professionals or other service providers to exchange best practices. Grant requests for projects involving investigation, research, studies, publications or similar activities are not, however, admissible.

6. The Fund can provide emergency assistance to individuals in countries where no project is receiving support. This type of request is examined according to a specific procedure outlined in the Fund's guidelines. Detailed information on the various types of assistance provided through the projects financed by the Fund, as well as their impact on beneficiaries, can be found in the report of the Secretary-General to the General Assembly at its fifty-eighth session (A/58/284, paras. 27-34).

II. Financial situation of the Fund

Contributions and pledges received

7. Since the last report of the Secretary-General to the General Assembly on the activities of the Fund (A/63/220), contributions and pledges were received as per the table below. These contributions will enable the Board to make recommendations for grants at its thirty-first session, to be held from 19 to 23 October 2009. Grants recommended at the next session of the Board will be disbursed in January 2010 for the year from 1 January to 31 December 2010.

Table 1
Contributions and pledges received from 17 October 2008 to 31 July 2009

Donors	*Amount (in United States dollars)*	*Date of receipt*
Contributions		
States		
Algeria	5 000.00	05.03.2009
Andorra	32 038.60	20.11.2008
Andorra	30 928.27	14.07.2009
Austria	85 978.84	21.01.2009
Belgium	129 364.81	17.11.2008
Brazil	20 000.00	04.12.2008
Bulgaria	3 000.00	22.12.2008
Canada	49 884.48	07.01.2009

Chile	10 000.00	17.06.2009
Croatia	6 000.00	04.12.2008
Denmark	343 465.57	17.03.2009
Finland	203 626.22	25.06.2009
France	255 754.48	17.03.2009
Germany	557 880.06	06.07.2009
Greece	14 306.15	31.12.2008
Hungary	6 963.79	01.01.2009
Israel	2 500.00	01.01.2009
Kuwait	10 000.00	16.06.2009
Liechtenstein	26 062.73	03.07.2009
Luxembourg	32 808.40	09.02.2009
Monaco	17 127.80	14.04.2009
Morocco	3 000.00	29.04.2009
Netherlands	1 119 970.00	14.11.2008
Norway	155 400.16	23.07.2009
Republic of Korea	70 000.00	25.11.2008
South Africa	9 986.60	06.04.2009
Spain	388 601.04	16.12.2008
Turkey	10 000.00	26.03.2009
Venezuela	5 000.00	09.02.2009
Individuals		
Thomas Franckl	328.08	10.02.2009
Rita Maran	50.00	18.12.2008
Total contributions	**3 602 026.20**	
Pledges		
Belgium	127 877.24	02.03.2009
Greece	42 194.09	30.06.2009
Ireland	100 000.00	17.07.2009
Netherlands	1 120 000.00	02.03.2009
Total pledges	**1 390 071.30**	

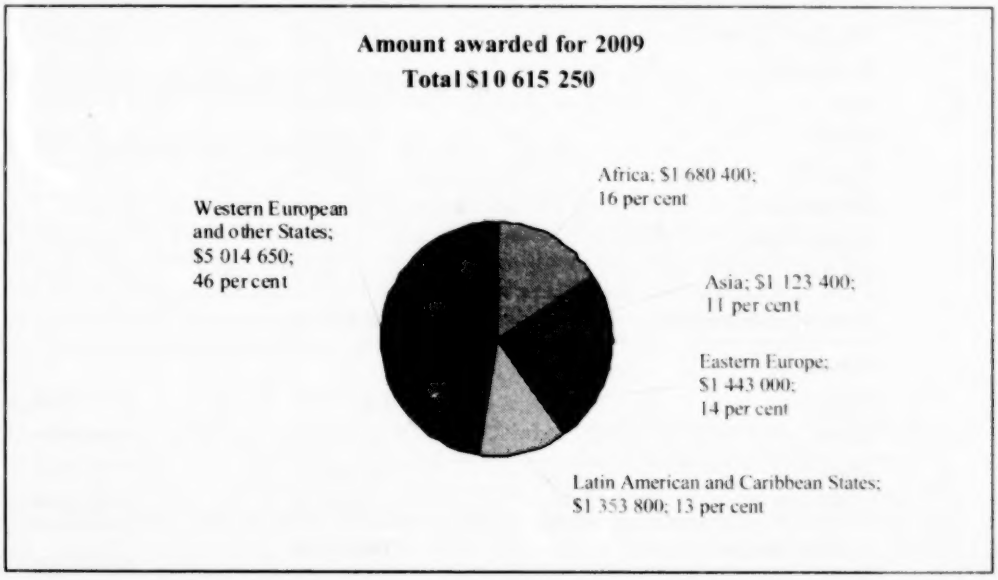
Table 2
Grants awarded between 2005 and 2009, by region
(in United States dollars)

	2005	*Percentage*	*2006*	*Percentage*	*2007*	*Percentage*	*2008*	*Percentage*	*2009*	*Percentage*
Africa	295 500	5.42	407 500	7.03	640 000	10.37	1 205 000	14.04	1 680 400	16
Asia	497 500	9.12	465 400	8.03	556 000	9.01	853 500	9.94	1 123 400	11
Eastern Europe	474 000	8.69	606 500	10.46	771 000	12.49	1 215 000	14.16	1 443 000	14

	2005	Percentage	2006	Percentage	2007	Percentage	2008	Percentage	2009	Percentage
Latin American and Caribbean States	699 000	12.81	762 500	13.15	665 000	10.77	992 500	11.56	1 353 800	13
Western European and other States	3 489 500	63.96	3 557 000	61.34	3 541 500	57.37	4 316 700	50.30	5 014 650	46
Total allocated by the Board	**5 455 500**		**5 798 900**		**6 173 500**		**8 582 700**		**10 615 250**	
Total amount paid to organizations	**4 835 000**		**5 793 900**		**6 133 910**		**8 568 400**		[a]	

[a] The final amount paid in 2009 is not available at the time of writing the present report as some grants recommended at the thirtieth session of the Board, in February 2009, are yet to be paid.

Table 3
Grants awarded in 2009 by region
(in United States dollars)


Amount awarded for 2009
Total $10 615 250
Africa; $1 680 400; 16 per cent
Western European and other States; $5 014 650; 46 per cent
Asia; $1 123 400; 11 per cent
Eastern Europe; $1 443 000; 14 per cent
Latin American and Caribbean States; $1 353 800; 13 per cent

8. During the reporting period, the Board continued its efforts to provide a greater number of grants to organizations working in the countries of origin of victims. As tables 2 and 3 above show, the proportion of funding allocated to organizations in Africa, Asia and Latin America has continued to increase during 2009, whereas the proportion of funding allocated to organizations in Western European and other States has decreased by 18 points since 2005.

III. Twenty-ninth and thirtieth sessions of the Board of Trustees

9. At its twenty-ninth session, the Board of Trustees examined information prepared by its secretariat concerning 225 projects, including new applications for 2009, and the analysis of narrative, financial and audit reports on the use of grants paid in previous years. It considered requests for new grants amounting to $15,265,197 for 167 ongoing and 28 new projects to be implemented in 2009. In addition, the Board held a meeting with the United Nations High Commissioner for Human Rights, and a meeting with Member States which was attended by 11 delegations. The Board invited several grantees currently involved in capacity-building projects linking organizations in developed countries with organizations in developing countries to present their respective experience. Finally, Member States attended a presentation by the Office of Internal Oversight Services on follow-up to its report on the evaluation of the Fund.

10. The thirtieth session of the Board of Trustees was mainly devoted to the discussion of policy issues and meetings with relevant actors in the field of assistance to victims of torture, including other United Nations entities. The Board also considered additional grant requests for 2009 from projects in priority regions amounting to $1,558,162 from 29 projects.

A. Recommendations adopted by the Board

11. At its twenty-ninth and thirtieth sessions, the Board of Trustees made recommendations for grants for the period January to December 2009 for more than 205 projects in over 65 countries, for a total amount of $10,615,250 after deduction of programme support cost and operating cash reserve. The Board also recommended that $300,000 be set aside for inter-sessional and/or emergency grants for the year 2009.

B. Policy decisions

Twenty-ninth session of the Board of Trustees

12. During the twenty-ninth session, the Board discussed policy issues related to multi-year funding; penalization policy for late and non-reporting grantees; options to contribute to the capacity-building of grantees; and guidelines for grantees on how to use awards received from successful litigation supported with the Fund's grants.

13. The Board continued its discussion on multi-year funding, noting that its objectives were to provide organizations with sustainability and the possibility of advanced planning. In that respect, the Board identified a group of grantees which met criteria established at its twenty-eighth session to be considered in first place when allocating funds for disbursement. The criteria included, inter alia, being projects of a relatively small size with a high level of dependency on and with an established relationship with the Fund and being in full compliance with the requirements of the Fund. Inclusion in the list was for a rolling period of three years subject to satisfactory reporting on the use of previous grants. Grantees were informed of the selection in 2009 for the first rolling period from 2010 to 2012.

14. The Board recommended that projects that submitted late reports on the use of previous grants without prior authorization by the secretariat be penalized. In that respect, the penalization would be a reduction of between 5 and 25 per cent of the grant awarded for the following cycle, depending on the length of the delay in submitting the reports. Should the delay persist, the penalty might be doubled in future considerations of applications. Failure to submit narrative and financial reports by the October session of the Board would result in the new application being considered as inadmissible and a refund of the previous grant would be requested.

15. The Board also discussed the importance of building the capacity of grantees in different areas where problems had been identified by the secretariat, including meeting the reporting requirements of the Fund, management capacity, language problems and fund-raising. In that respect, the Board reviewed a list of projects in need of assistance, and recommended that a maximum of 1 per cent of the Fund's budget be set aside every year for project monitoring.

16. Regarding guidelines for grantees on the use of awards received from successful litigation supported with the Fund's grants, the Board agreed to the principle that income received from legal proceedings supported by the Fund belonged to the Fund. Therefore, organizations had the obligation to inform the Fund and be accountable for the money received. For organizations that had a project for the rehabilitation of victims of torture in place, the Fund would like to see the awards received being used as income for the project, subject to advance approval by the Fund. Should the Fund not approve of the proposal made by the organization, the money should then be refunded to the Fund. The new guideline would be in effect from 2010 onwards and would be applied to awards received from cases which started from 2010 onwards.

Thirtieth session of the Board of Trustees

17. At its thirtieth session, the Board discussed the possibility of identifying priority thematic areas of work and agreed on using the general call for proposals to encourage new applicants working in specific areas to submit applications. The Board also discussed its policy of inviting grantees to attend its sessions and brief them about their work and agreed to continue its practice of taking the lead in selecting and inviting the grantees in order to ensure geographical and thematic balance at every session.

C. Meetings with relevant actors in the field of assistance to victims of torture

Twenty-ninth session of the Board of Trustees

18. During the twenty-ninth session, the Board held a meeting with the United Nations High Commissioner for Human Rights. The High Commissioner was pleased to note the recent efforts of the Board in going beyond grant-making and dedicating part of its work to developing important new policies and programmes, such as the one intended to build up the capacity of grantees.

19. In addition, the Board held a meeting with Member States which was attended by 11 delegations. In the context of that meeting, the Board invited several grantees

currently involved in capacity-building projects linking organizations in developed countries with organizations in developing countries in order to present their respective experiences. Organizations invited to make presentations were implementing projects in the Democratic Republic of Congo, Ecuador and Indonesia.

20. Finally, Member States attended a presentation by the Office of Internal Oversight Services on the follow-up to its report on the evaluation of the Fund. In its presentation, the Office highlighted the fact that 19 out of the 20 recommendations made in its evaluation in 2005 had been implemented. The Office of Internal Oversight Services commended the Board, the secretariat and the Office of the United Nations High Commissioner for Human Rights (OHCHR) for their work and efforts during the period, which have increased the efficiency of the Fund and reinforced its impact in assisting victims of torture.

Thirtieth session of the Board of Trustees

21. During the thirtieth session, the Board met with a number of other United Nations entities in order to create greater synergies and raise the profile of the Fund and its work. In that context, a meeting with the OHCHR Rapid Response Unit and Peace Missions Support was convened at which was discussed mechanisms and options for the Fund to offer United Nations peacekeeping missions instruments to provide direct assistance to victims through local organizations.

22. The Board also met with regional coordinators and staff members of the Field Operations and Technical Cooperation Division of OHCHR who were responsible for the coordination of the development and implementation of the Office's country engagement strategies in Africa, Asia, Europe, North America and Central Asia and Latin American and Caribbean States regions. During the meeting, several ideas on ways to further assist the Fund in implementing its mandate were discussed, including the designation of focal points within the field presences and in each regional unit in order to assist the Board in defining the thematic and regional priorities of the Fund.

23. The Board held a meeting with representatives of the Office of the United Nations High Commissioner for Refugees (UNHCR) to discuss ways in which the Fund and the Office could enhance their mutual collaboration. The Board expressed its appreciation to UNHCR for its assistance in identifying reliable organizations and monitoring the work of grantees. The representatives of UNHCR noted the importance of the Fund's support to a considerable number of UNHCR partner organizations in the field. At the same time, UNHCR representatives noted that the Fund's potential could be better utilized by reaching out to more organizations and offered to disseminate information to UNHCR regional offices, which would in turn channel that information through its field presences.

24. The Board held a meeting with the International Committee of the Red Cross (ICRC) at which the main activities, modalities of work and ways to reach out to organizations in the field were discussed. ICRC offered to disseminate information about the Fund through its field presences and to encourage reliable non-governmental organizations from the field to apply to the Fund.

25. The Board met with a representative of the European Commission to discuss issues of common concern, namely new developments in the European

Commission's funding strategy for combating torture and assisting victims, the outcome of its latest call for proposals and the results of its most recent project evaluation exercise.

26. The Board continued its practice of meeting with other institutional donors in the field of assistance to victims of torture. A representative of the National Endowment for Democracy met with the Board to share information on its evaluation and monitoring policy and practices and to discuss initiatives to build the capacity of grantees.

IV. Outstanding recommendation of the Office of Internal Oversight Services

27. As a result of the work undertaken during the reporting period, the Office of Internal Oversight Services considers that only one recommendation, 9 (strengthened management system), is still being implemented.

28. OIOS has commended the considerable enhancements made to the administration of the Fund since its original evaluation in 2004, noting that the changes with regard to grant allocations, funding cycles, role and working methods of the Board, internal management, and donor relations will enhance overall efficiency and effectiveness of the Fund, which is crucial for the Fund to continue to make a positive difference in the lives of victims of torture.

Recommendation 9: strengthened management system

29. For the second time, applications for grants for 2010 were received through the online grant system of the Fund. During the period of the call for online applications, the secretariat offered a direct technical assistance service via e-mail to all organizations using the system and replied to multiple queries from ongoing and potential grantees. The secretariat continued working on enhancing the internal administration module of the grant management system of the Fund, in particular by entering historical data on all grants allocated by the Board in past years. On an exceptional basis, applications received from projects located in developing countries and experiencing technical difficulties in accessing the online grant system, have been accepted.

30. In addition, the online revision module allowing proposed budgets to be revised online was developed and launched for 2009 grants. The secretariat assisted organizations that have been awarded a grant for the period January to December 2009 in revising and submitting their budget proposal through the online grant system of the Fund.

31. The reporting module, closely linked to the existing application module, was conceptualized during 2008 and is currently under development in order to be ready for grantees to use to report on the 2009 grants by April 2010. The reporting module will be tested with a varied selection of grantees between September and December 2009, allowing its fine-tuning and upgrading. The secretariat is currently working on the French and Spanish versions of the reporting module. Finalization of this module should bring the online grant system to completion, as urged by the Office of Internal Oversight Services.

V. International Day in Support of Victims of Torture

32. On 26 June 2009, the Committee against Torture, the Subcommittee on Prevention of Torture, the Special Rapporteur of the Human Rights Council on torture and other cruel, inhuman or degrading treatment or punishment, the Committee on the Rights of Persons with Disabilities and the Board of Trustees of the United Nations Voluntary Fund for Victims of Torture made the following joint statement to commemorate the United Nations International Day in Support of Victims of Torture:

> A number of independent experts from several United Nations mechanisms, referring to the first session of the Committee on the Rights of Persons with Disabilities that convened in Geneva from 23 to 27 February 2009, recalled today that persons with disabilities continue to run an increased risk of falling victim to abuse and neglect in a number of contexts: many are involuntarily confined for long periods, at times without legal basis and proper review mechanisms and in inadequate conditions; inside institutions they are often subjected to restraint, sometimes severe forms of restraint, physical, mental and sexual violence, and seclusion; moreover, persons with disabilities are especially vulnerable to violence and abuse, including sexual abuse, inside the home, at the hands of family members, caregivers, health professionals and members of the community. Finally, they risk being exposed to medical experimentation and intrusive and irreversible medical treatments without their consent.
>
> They stated that "In light of the absolute prohibition of torture, no exceptional circumstances may be invoked for its justification, and States have the obligations to prevent torture and other cruel, inhuman or degrading treatment or punishment, including of persons with disabilities". They further stressed that "Forms of severe violence perpetrated by State or private actors directed at disabled persons can amount to torture since, if their purpose is discriminatory, they fall within the definition of torture in the Convention against Torture".
>
> Insofar as certain prison conditions, interrogation techniques, or procedures which are in general permissible under international law may constitute torture and ill treatment if applied to a person with a disability, special needs have to be accommodated to live up to relevant human rights obligations. In addition, the infliction of torture and other forms of inhuman, cruel or degrading treatment or punishment may result in physical and/or mental disabilities or aggravate existing impairments.
>
> They stressed that two key-principles enshrined in several international instruments and re-enforced in the Convention on the Rights of Persons with Disabilities, should be at the centre of the protection of persons with disabilities at all times: non-discrimination in all areas, including confinement, and the requirement of free and informed consent to medical treatment. They also expressed their sincere hope that increased international scrutiny will help to shed light on abusive practices vis-à-vis persons with disabilities and to combat them more effectively. They therefore called on States that have not yet done so to become parties to the Convention against Torture and its Optional Protocol, as well as to the Convention on the Rights of Persons with

Disabilities, and to take all other measures aimed at ensuring that all persons with disabilities have the right to enjoy all human rights and are fully protected from torture and cruel, inhuman and degrading treatment and punishment.

They finally paid tribute to all Governments, civil society organizations and individuals engaged in activities aimed at preventing torture, punishing it and ensuring that all victims obtain redress and have an enforceable right to fair and adequate compensation, including the means for as full rehabilitation as possible. They expressed their gratitude to all donors to the United Nations Voluntary Fund for Victims of Torture and hope that contributions to the Fund will continue to increase, so that more victims of torture and members of their families can receive the assistance they need. They called on all States, in particular those which have been found to be responsible for widespread or systematic practices of torture, to contribute to the Voluntary Fund as part of a universal commitment for the rehabilitation of torture victims.

VI. How to make a contribution to the Fund

33. Contributions to the Fund should always be marked as follows: "payee: United Nations Voluntary Fund for Victims of Torture, account CH". Payments may be made either by bank transfer: (a) in United States dollars to "United Nations Geneva General Fund", account No. 485001802, J.P. Morgan Chase Bank, International Agencies Banking, 1166 Avenue of the Americas, 17th floor, New York, NY 10036-2708, United States of America (Swift code: CHAS US 33; ABA code: 021000021); (b) in euros to "United Nations Office at Geneva", account No. 23961901, J.P. Morgan Chase Bank, 125 London Wall, London EC2Y 5AJ, United Kingdom (Swift code: CHAS GB 2L, Sorting code: 60-92-42, IBAN: GB25 CHAS 6092 4223 9619 01); (c) in pounds sterling to "United Nations Office at Geneva", account No. 23961903, J.P. Morgan Chase Bank, 125 London Wall, London EC2Y 5AJ, United Kingdom (Swift code: CHAS GB 2L, Sorting code: 60-92-42, IBAN: GB25 CHAS 6092 4223 9619 03); (d) in Swiss francs to "United Nations Geneva General Fund", account No. 240-C0590160.0, UBS, rue du Rhône 8, Geneva 2, Switzerland (Swift code: UBSW CH ZH 12A; IBAN: CH65 0024 0240 CO59 0160 0); (e) in any other currency to "United Nations Geneva General Fund", account No. 240-C0590160.1, UBS, rue du Rhône 8, Geneva 2, Switzerland (Swift code: UBSW CH ZH 12A; IBAN: CH65 0024 0240 CO59 0160 1); (f) or by cheque payable to "United Nations" addressed to: Trésorerie, Nations Unies, Palais des Nations, CH 1211 Geneva 10, Switzerland. Donors are requested to inform the secretariat of the Fund and the Resource Mobilization Unit of the Office of the High Commissioner for Human Rights when a payment has been made (a copy of the bank transfer order or of the cheque would be appreciated) to facilitate effective follow-up on the official recording procedure and preparation of the Secretary-General's reports.

VII. Conclusions and recommendations

34. **Pursuant to the appeals by the General Assembly and the Board of Trustees of the Fund, donors are invited to pay their contributions to the Fund**

before the regular allocation period so as to enable the Board to take them into account at its thirty-first session, in October 2009.

35. **The General Assembly and the Board of Trustees have also urged regular donors to increase their contributions, if possible, in order to provide the Board with the resources required to meet the growing needs of torture victims and the members of their families.**

36. **The Board strongly encourages Governments that have not yet contributed to the Fund to do so for the first time, preferably before September 2009.**

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Sixty-fourth session
Item 71 (b) of the provisional agenda*
Promotion and protection of human rights: human rights questions, including alternative approaches for improving the effective enjoyment of human rights and fundamental freedoms

Globalization and its impact on the full enjoyment of all human rights

Report of the Secretary-General**

Summary

The present report, which is submitted in response to General Assembly resolution 63/176 of 18 December 2008, contains a summary of the views on the issue of globalization and its impact on the full enjoyment of all human rights that have been received from the Governments of Oman and the Holy See, and from the Department of Economic and Social Affairs of the United Nations Secretariat, the International Labour Organization, the International Monetary Fund, the United Nations Conference on Trade and Development, the United Nations Development Programme and the World Trade Organization.

* A/64/150.

** The present report was submitted later than the indicated deadline in order to incorporate the most recent available information on the subject.

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I. Introduction

1. In its resolution 63/176 of 18 December 2008, the General Assembly, inter alia, took note of the report of the Secretary-General on globalization and its impact on the full enjoyment of all human rights (A/63/259) and requested the Secretary-General to seek further the views of Member States and relevant organizations of the United Nations system and to submit a substantive report on that subject to the Assembly at its sixty-fourth session.

2. On 26 May 2009, pursuant to that request, the Office of the United Nations High Commissioner for Human Rights sent a request for views on the issue. As of 3 August 2009, the Office of the High Commissioner had received responses from the Governments of Oman and the Holy See and from the Department of Economic and Social Affairs of the United Nations Secretariat, the International Labour Organization (ILO), the International Monetary Fund (IMF), the United Nations Conference on Trade and Development (UNCTAD), the United Nations Development Programme (UNDP) and the World Trade Organization.

II. Replies received from Governments

Oman

[Original: English]
[28 July 2009]

The Government of Oman made reference to paragraphs 4 and 6 of General Assembly resolution 63/176, which, according to the Sultanate, were related to the World Trade Organization agreements that referred to the responsibilities and rights of Member States: their adherence to transparency within the trading system; and their readiness to liberalize trade and related services and to avoid discrimination in trade relations, as well as to liberalize the agricultural sector. The Sultanate remained committed to the implementation of paragraph 9 of that resolution, which concerned the facilitation of a more active role for developing countries in the world economic system, and their participation in the norm-setting and decision-making that would enhance a more transparent global system. The Government of Oman stated that, as a member of the World Trade Organization, it remained committed to such a perspective.

The Government of Oman stated that globalization was beneficial in respect of promoting exchange and facilitating the achievement of humanity's common interest in progress through the development of science and technology. The Government noted, however, that globalization should be neither a threat to national identity, values and culture nor perceived as a policy oriented only towards market hegemony and profit.

Holy See

[Original: English]
[15 July 2009]

The Government of the Holy See[1] stated that, while globalization was able to produce potentially beneficial effects for the whole of humanity through the growth of the system of economic and financial relations and technological progress, it did involve risks connected with the new dimensions of commercial and financial relations. The current financial crisis had brought about increases in inequalities, both between advanced and developing countries, and within industrialized countries. The Government of the Holy See further stressed that the growing economic wealth made possible by economic and financial globalization and technological progress had been accompanied by an increase in relative poverty.

The Government of the Holy See pointed out that, because of the great disparities between countries regarding access to technical and scientific knowledge and to the most recent products of technology, the process of globalization had increased rather than decreased the inequalities between countries in terms of economic and social development. It also added that the free circulation of capital, in its current form and structure, was not of itself sufficient to close the gap between developing and more advanced countries.

The Government of the Holy See recognized that international trade, if properly oriented, promoted development, and drew attention to the distortions in the international trading system, which, often owing to protectionist policies, discriminated against products from poorer countries and hindered the growth of industrial activity in and the transfer of technology to those countries. The Government of the Holy See emphasized the importance of ethical criteria as forming the basis of international economic relations encompassing, inter alia, equity in trade relationships, and attention to the rights and needs of the poor in policies concerning trade and international cooperation.

The Government of the Holy See stated that adequate solidarity in the era of globalization required the defence of human rights and noted the emergence of an alarming disharmony between a series of new "rights" being promoted in advanced societies and basic human rights. The former were an outgrowth of the new prosperity and new technologies. On the other hand, basic human rights, especially in situations of underdevelopment, such as the right to food and drinkable water, the right to housing and security, and the right to self-determination and independence, remained far from being guaranteed and realized.

The Government of the Holy See stated that special attention needed to be given to local culture and diversity, which were threatened by the current economic and financial process, and added that globalization must respect the diversity of cultures.

The Government of the Holy See noted that solidarity between generations must be forcefully emphasized in the era of globalization. While recognizing that there was a continued pursuit of solidarity within national political communities, the

[1] The contribution of the Government of the Holy See is based on Pontifical Council for Justice and Peace, *Compendium of the Social Doctrine of the Church* (Washington, D.C., USCCB Publishing, March 2005).

Holy See opined that solidarity was also relevant for the global political community in the context of ensuring that globalization would not occur at the expense of the neediest and the weakest.

Considering the role of international economic and financial institutions in today's globalized economy, the Government of the Holy See pointed to the necessity of equal representation of the interests of the whole human family in those institutions. The Government of the Holy See further emphasized the need for those institutions, in evaluating the consequences of their decisions, to always give sufficient consideration to peoples and countries that, though their voice had little weight in the international market, were burdened with acute and desperate needs and were therefore more dependent on support for their development. Economic processes should ensure that the dignity of man and his complete development as a person were respected in the context of the common good.

The Government of the Holy See pointed out that one of the fundamental tasks of those actively involved in international economic matters was to achieve for mankind an integral development in solidarity. It was also emphasized that this task required the vision of an economy that, on the international level, guaranteed an equitable distribution of resources.

III. Replies received from United Nations organizations

Department of Economic and Social Affairs of the United Nations Secretariat

[Original: English]
[17 June 2009]

The contribution of the Department of Economic and Social Affairs of the United Nations Secretariat concerned the particular vulnerability of women in the context of globalization, the importance of the right to development, and the new threats posed to development by climate change.

The Department of Economic and Social Affairs stated that continuing discrimination against women, the denial or lack of equal rights and of access to education, training and credit facilities, and the lack of control over land, capital, technology and other areas of production impeded women in respect of fully and equally contributing to, and having equal opportunity to benefit from, development.

The Department of Economic and Social Affairs noted that economic and financial crises imposed a disproportionate burden on women, who were often concentrated in vulnerable sectors of employment, were more likely than men to be unemployed, tended to have lower unemployment and social security benefits, and had unequal access to and control over economic and financial resources. The Department pointed out that poor, migrant and minority women might be disproportionately affected and stated that monetary and fiscal policies implemented in response to recessions, such as cuts in public spending in the areas of health and education, could also have a disproportionate impact on women and girls, by reducing women's and girls' access to basic services, resulting in girls' withdrawal from schools to help with household work, and reinforcing gender gaps in

education. The Department warned that those coping strategies could undermine the long-term development of the society as a whole.

The Department of Economic and Social Affairs recalled the importance of ensuring that policy responses to the financial and economic crises took into account the differential priorities and needs of women, men, girls and boys, and did not undermine the policies and plans that promoted gender equality and women's empowerment. In this context, the Department made reference to the Convention on the Elimination of All Forms of Discrimination against Women[2] and the International Covenant on Economic, Social and Cultural Rights,[3] which contained provisions pertaining to the economic and social rights of women.

The Department of Economic and Social Affairs referred to General Assembly resolution 62/206 of 19 December 2007, in which the Assembly recognized that, while globalization and liberalization processes had created employment opportunities for women in many countries, they had also made some women, especially in developing countries and in particular in the least developed countries, more vulnerable to problems caused by increased economic volatility.

The Department of Economic and Social Affairs made reference to the *2004 World Survey on the Role of Women in Development: Women and International Migration*,[4] which had examined the impact of globalization on the migration of women. It also referred to the 2009 World Survey on the Role of Women in Development, which focuses on "Women's control over economic resources and access to financial resources, including microfinance".

On the subject of globalization and violence against women, the Department made reference to the Secretary-General's 2006 in-depth study on all forms of violence against women (A/61/122/Add.1 and Corr.1), paragraphs 89-91,[5] which noted that social changes triggered by globalization in many contexts had tended to engender new forms of violence against women, globalize previously "localized" or "traditional" forms, or worsen existing forms of violence, including trafficking on a global scale. Large-scale inequities and upheavals associated with globalization have exacerbated the conditions that generate violence against women by amplifying disparities of wealth and social privilege, impoverishing rural economies and exposing women to violence in the form of exploitative working conditions in inadequately regulated industries. It further stressed that women migrants who were undocumented or who did not have legal migration status were at greater risk of violence and had less access to protection orders, services and redress.

The Department of Economic and Social Affairs referred to General Assembly resolution 61/143 of 19 December 2006 on the intensification of efforts to eliminate all forms of violence against women, adopted by the Assembly pursuant to the above-mentioned study of the Secretary-General. That resolution and Assembly resolution 63/155 of 18 December 2008, the most recent resolution on the same issue, both recognized that women's poverty, lack of empowerment, and

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[2] United Nations, *Treaty Series*, vol. 1249, No. 20378.

[3] See General Assembly resolution 2200 A (XXI), annex.

[4] United Nations publication, Sales No. E.04.IV.4.

[5] Published as *Ending Violence against Women: From Words to Action — Study of the Secretary-General* (United Nations publication, Sales No. E.06.IV.8). See also the report of the Special Rapporteur on violence against women, its causes and consequences (E/CN.4/2006/61 and addenda).

marginalization resulting from their exclusion from social policies and from the benefits of sustainable development, could place them at increased risk of violence, and that violence against women impeded the social and economic development of communities and States, as well as the achievement of the internationally agreed development goals, including the Millennium Development Goals.

On the subject of globalization and sustainable development, the Department of Economic and Social Affairs referred to the Declaration on the Right to Development (General Assembly resolution 41/128 of 4 December 1986, annex), which states that "the right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized" (article 1, para. 1).

The Department of Economic and Social Affairs stated that globalization provided an opportunity as well as a challenge in the fight against world poverty and the exercise of the right to development. It referred to the opportunities that might arise from globalization through gains from trade and foreign direct investment (FDI), while cautioning that trade expansion could adversely affect domestic income equality.

The Department of Economic and Social Affairs pointed to new threats to development posed by climate change, especially in the poorest and most vulnerable countries, and stated that both developed and developing countries must adapt in the face of climate change, and that international cooperation and financial support from developed countries would be critical to addressing the adaptation needs of vulnerable countries. It emphasized the importance of adaptation measures in the area of the agriculture of developing countries so as to avert increases in hunger and food insecurity and highlighted the point made by the Intergovernmental Panel on Climate Change that some adaptation measures in agriculture could also contribute significantly to cost-effective mitigation of greenhouse gas emissions.

The Department of Economic and Social Affairs made reference to the forthcoming *World Economic and Social Survey 2009: Promoting Development, Saving the Planet*,[6] which argued that switching to low-emissions, high-growth pathways in order to simultaneously meet development and climate challenges was both necessary and feasible through an active government role in public investment and industrial policies that guided the transformation needed to switch to a sustainable development path.

According to the Department of Economic and Social Affairs, an ambitious and equitable outcome arising from the United Nations Climate Change Conference, to be held in Copenhagen from 7 to 18 December 2009, would help promote sustainable economic growth based on low-carbon technologies, notably in developing countries, which, as a result of the Conference, would make large investments in their energy and industrial sectors over the coming decades. It pointed to developing countries' need for financial and technological support from developed countries to achieve the transition to low-carbon growth. The Department stated that globalization in the form of accelerated international investment in low-

[6] United Nations publication, Sales No. E.09.II.C.1.

of a Helpdesk which responds to requests for information and guidance from Governments, employers, workers and other international organizations, such as the United Nations Development Programme (UNDP). ILO stated that, through its memorandum of understanding with the International Organization for Standardization (ISO), it had played an active part in the elaboration of the ISO 26000 guidance standard on social responsibility, which it was expected would be adopted in 2010 and which explored new avenues for promoting international labour standards, environmental sustainability, improved governance in organizations, and human rights more broadly, in the context of the current global crisis.

ILO pointed out that the adoption of the Global Jobs Pact had been welcomed by the Economic and Social Council in July 2009 (see resolution E/2009/L.24), and that ILO would further intensify its cooperation with the relevant organizations and agencies of the United Nations system in the context of that endorsement.

International Monetary Fund

[Original: English]
[1 July 2009]

The International Monetary Fund (IMF) noted that the dramatic economic and financial strains that had first emerged in 2007 presented an unprecedented global challenge and had elicited a commendable cooperative global response. IMF added that significant new international efforts would be required to correct the systemic flaws that had produced the preconditions for the current crisis and to achieve a sustainable and balanced global growth rebound.

IMF stated that the crisis was the result of a serious market failure — reflecting excessive investor optimism after an extended period of strong growth, low market volatility and low real interest rates — compounded by a series of key policy and regulatory failures. IMF referred to poor financial regulation, excessive risk-taking by the private sector and unsustainable inconsistencies in national macroeconomic policy choices as the causes of the current economic crisis.

IMF pointed to three kinds of gaps that remained to be filled in the architecture of global financial systems: gaps in information, where the lack of market transparency might lead to faulty decisions; gaps in regulations which resulted in systemic flaws; and gaps in markets which forced policymakers to self-insure against systemic fragility. It noted that filling these gaps would call for new forms of international cooperation.

IMF believed that a comprehensive approach to restoring public confidence in the financial sector and relaunching global economic growth was essential. According to IMF, in order to revive the global economy, Governments, central banks and regulators must act decisively to restore confidence in financial institutions. Given the impaired conditions of the financial system, monetary policy alone would not be able to offset financial market disruption and the severity of the downturn, and fiscal stimulus was needed across countries with fiscal space, with temporary and targeted measures focused on both the revenue and expenditure spheres of economies designed to address the core problem of slowing demand. However it warned that, in pursuing the practices outlined above, policymakers

should not lose sight of the importance of medium- and long-term fiscal sustainability.

IMF noted that many countries, in particular many low-income and emerging-market countries, as well as some advanced countries, did not have sufficient fiscal space within which to implement expansionary fiscal measures in a sustainable way. It stressed the importance of the provision of external assistance by other countries, including large emerging economies.

IMF also pointed out that many of the world's poorest countries would require additional external support to safeguard their hard-won economic gains, as they were being severely affected by the global crisis. It emphasized the significance, in the context of sharply declining export and fiscal revenues, and the drying up of private financing sources, of stepped-up external assistance aimed at protecting vital social and Millennium Development Goals-related spending and averting a forced pro-cyclical adjustment.

IMF noted that there was broad consensus on the need to avoid protectionism in all forms in implementing policy responses to the crisis. It stated that a more open and secure international trading system would be a critical element of the future economic order. According to IMF, achieving an ambitious and development-oriented conclusion to the Doha Round was essential. It suggested that donors step up their efforts in providing Aid for Trade to low-income countries, so as to enable them to take full advantage of trade as an engine for recovery and sustainable growth.

IMF has been strengthening its approach to and role in helping to combat the global economic crisis and reinforce the financial system in a variety of ways, inter alia, by significantly increasing concessional lending, continuing progress on debt-relief initiatives, while reviewing debt limits and the debt sustainability framework, emphasizing social protection, expanding provision of technical assistance, and contributing to the strengthening of the international financial architecture.

IMF stated that it was trying to ensure that economic adjustments undertaken to combat the impact of the crisis also took into account the needs of the most vulnerable by fostering the development or enhancement of social safety nets. It added that social spending was being preserved or increased wherever possible and that about one third of programmes in low-income countries included floors on social and other priority spending. IMF noted that it was working closely with the World Bank and donors to identify sources of external financing for social protection and promote social safety net reform.

IMF stated that it was contributing to the ongoing effort to draw lessons from the crisis for application to policy, regulation and reform of the global financial architecture. On the important issues of quotas and votes within IMF, it noted that the membership had adopted in April 2008 an important reform of the quota formula and an ad hoc increase of quotas designed to rebalance the IMF quota shares so as to better reflect the evolution of the world economy, and also noted the further impetus given by the International Monetary and Financial Committee in April 2009.

United Nations Conference on Trade and Development

[Original: English]
[20 July 2009]

The United Nations Conference on Trade and Development (UNCTAD) stated that the ungoverned nature of the global monetary system was increasingly viewed as having a detrimental — if not systemically fatal — impact on promoting equitable and sustainable economic growth for managing globalization in a manner that systematically reduced poverty and ensured the attainment of international development targets, as stated in paragraph 7 of General Assembly resolution 63/176. It noted that of most immediate concern to poor countries, especially those that were dependent on the export of food commodities or were heavily food import-dependent, were sharp volatility and accentuated risk in food commodity markets, which should be singled out for the attention of policymakers in the coming period. UNCTAD called for consideration not only of immediate action to stabilize conditions in these markets, but also of deeper and more fundamental systemic reform, if trade and finance were to serve development and not vice versa.

UNCTAD stated that the build-up and eruption of the crisis in the financial system had been paralleled by an unusually sharp increase and subsequent strong reversal in the prices of internationally traded primary commodities. It further noted that the price hike for a number of commodities had put a heavy burden on many developing countries relying on imports of food and energy commodities, and had contributed to food crises in a number of countries in 2007-2008, while the slump of commodity prices in the second half of 2008 had been one of the main channels through which the dramatic slowdown of economic and financial activity in the major industrialized countries was transmitted to the developing world. UNCTAD stated that although the reversal in commodity prices was considerable, it corresponded to only about one seventh of the previous six-year increase, which meant that commodity prices remained well above their levels in the first half of this decade.

UNCTAD noted that the strong and sustained increase in primary commodity prices between 2002 and mid-2008 had been accompanied by a growing presence of financial investors on commodity futures exchanges. It further stated that this "financialization" of commodity markets had raised concern that many of the recent commodity price developments — and especially the steep increase in 2007-2008 and the subsequent strong reversal — had been largely driven by financial investors' use of commodities as an asset class.

UNCTAD highlighted the greater weight exerted by financial investors on commodity futures exchanges as a major new element in commodity trading over the past few years. It pointed out that these developments in commodity prices suggested that, beyond the specific functioning of commodity markets, broader macroeconomic and financial factors which operated across a large number of markets needed to be considered if recent commodity price developments were to be fully understood.

UNCTAD stated that the involvement of financial investors had taken on new dimensions in the aftermath of the dot-com crash in 2000. It highlighted the parallel developments in commodity markets where the number of futures and options contracts outstanding on commodity exchanges worldwide had increased more than

5-fold between 2002 and mid-2008, while, during the same period, the notional value of over-the-counter commodity derivatives had increased more than 20-fold. UNCTAD referred to this parallel development as a first indicator of the role of large-scale speculative activity in driving commodity prices first up and then down.

UNCTAD stated that uninformed trading combined with herd behaviour related to the managed funds that used technical-analysis tools, such as trend identification and extrapolation and algorithmic trading, for position-taking had resulted in increased short-term price volatility, as well as the overshooting of price peaks and troughs. It pointed out that the sustained trend towards greater financialization of commodity trading had increased the number and relative size of price changes that were unrelated per se to fundamental conditions.

UNCTAD noted that open-market price discovery and price risk management had traditionally been seen as the main benefits that commodity futures exchanges could provide to developing-country users. It added that hedging on commodity futures exchanges, by reducing price risk, had also been seen by some as an alternative to supply management under international commodity agreements. In the current situation, commodity exchanges had come to assume a broader developmental role, as their utility for developing countries had increasingly been perceived in terms of their removing or reducing the high transaction costs faced by entities along the commodity supply chains. UNCTAD stated that, given the increasingly controversial functioning of commodity exchanges due to the financialization of commodity futures trading, the question posed by the current financial crisis was how the functioning of commodity futures exchanges could be improved in such a way as to enable them to fulfil their developmental role. In trying to answer this question, UNCTAD had found it useful in this context to look at regulatory issues regarding commodity futures exchanges as well as to address broader international policy measures.

In this respect, UNCTAD suggested immediate action in several areas where improved regulation and global cooperation could address the impact of financial investment on commodity futures exchanges, including:

(a) Comprehensive trading data reporting, where monitoring information about sizeable transactions in look-alike contracts would enable regulators to understand what was moving prices and to intervene if certain trades looked problematic;

(b) Effective regulatory reform to enable regulators to counter unwarranted impacts from over-the-counter markets on commodity exchanges so that regulators might be able to intervene when swap dealer positions exceeded speculative position limits and might represent "excessive speculation";

(c) Extending the product coverage of detailed position reports of United States-based commodity exchanges and requiring non-United States exchanges that traded look-alike contracts to collect similar data, allowing regulators to prevent bubble-creating trading behaviour from having adverse consequences for the functioning of commodity futures trading;

(d) Renewed efforts to design a global institutional arrangement supported by all concerned nations, consisting of a physical grain reserve to stabilize markets and to respond to emergency cases and humanitarian crises; and an intervention mechanism, whereby intervention in the futures markets would be envisaged when a

competent global institution considered that market prices differed significantly from an estimated dynamic price band based on market fundamentals. The global mechanism should be able to bet against the positions of hedge funds and other big market participants and would assume the role of "market maker".

United Nations Development Programme

[Original: English]
[28 July 2009]

The United Nations Development Programme (UNDP) stated that its approach to development was based on a process of expanding people's choices in respect of leading lives that they valued, and the definition of poverty as a multidimensional phenomenon involving not only income deprivation but also lack of access to services such as health and education, dignity and participation in a community. UNDP noted that the fight against poverty in all its dimensions was concomitant with the efforts to realize civil, cultural, economic, political and social rights for all people.

UNDP stated that it had supported countries' efforts to integrate human rights standards and principles into poverty and development frameworks through different pilot initiatives at the country level. At the global level, the Programme sought to improve its existing tools, with a view to integrating human rights standards and principles into its work, which included, inter alia, the MDG Needs Assessment Models and the forthcoming Statistical Literacy online course.

UNDP stated that it supported developing countries' efforts to leverage the potential of globalization to fight poverty and improve the standard of living of their populations. It asserted that globalization through flows of trade, investment and technology could contribute to advancing human development. It noted that a combination of internal and external constraints undermined efforts of the poorest countries to take advantage of the opportunities offered by globalization and added that the current economic and financial crisis had revealed the vulnerability of the poorest countries to external shocks and their limited capacity to respond.

The Programme stated that its work on promoting a more inclusive globalization focused on enhancing developing-country capacities to compete internationally, and to negotiate, interpret and implement agreements on trade, intellectual property and investment in a manner that prioritized poverty and inequality reduction as well as human development. UNDP added that it assisted countries in strengthening national capacities to negotiate and manage development finance, including aid and debt, consistent with the achievement of the Millennium Development Goals and other internationally agreed development goals. In this context, UNDP noted that it collaborated actively with developing countries, development partners, agencies and international financial institutions, including regional banks in the Aid for Trade initiative and the Enhanced Integrated Framework for Trade-related Technical Assistance to Least Developed Countries, which aims to enhance the volume and quality of aid allocated to trade-related interventions in these countries and assist them in mainstreaming trade in their national development plans and poverty reduction strategies.

UNDP stated that, through the United Nations System Chief Executives Board for Coordination Inter-Agency Cluster on Trade and Productive Capacity established at the twelfth session of UNCTAD, held in Ghana in April 2008, it contributed to system-wide efforts to enhance development policy coherence and was playing an important role in mainstreaming trade in the country-level United Nations Development Assistance Frameworks. UNDP added that the Inter-Agency Cluster had launched a publication in July 2009 entitled "Aid for Trade and Human Development: A Guide to Conducting Aid for Trade Needs Assessment Exercises", which proposed a participatory methodology for the realization of trade needs assessments anchored in the human development approach. UNDP pointed out that the Cluster was working towards the articulation of a methodology to assess the human development impact of trade.

In the area of development finance, UNDP noted that its work had been concerned with the implications of the debt sustainability framework in heavily indebted poor countries and other critically indebted countries for the achievement of the Millennium Development Goals. UNDP had undertaken various country case studies which provided policy advice on effecting a greater alignment of borrowing practices with the Millennium Development Goals.

UNDP made reference to its efforts to engage the private sector as an active partner for human development as reflected in its participation in the United Nations Global Compact since 2001 and its contribution to the establishment of 60 Global Compact local networks. These networks, which bring business together with civil society organizations and Governments, aim at promoting the principles of the Global Compact, including on human rights, labour rights, environment and anti-corruption. UNDP also noted that it hosted the secretariat of the Business Call to Action and through this, had implemented more than 50 partnerships with private companies worldwide. The main objectives of these efforts are to promote cross-sector partnerships in support of the Millennium Development Goals, create more benefits from globalization for vulnerable groups, and encourage business to contribute to employment creation for low-income populations and to provide better access to basic goods and services.

In this framework, UNDP noted that in 2007 it had adopted an organization-wide private sector strategy entitled "Promoting Development of Inclusive Markets", which emphasized the Programme's role in supporting programme countries in developing markets and economies accessible to and benefiting low-income populations, while also taking into account environmental sustainability issues. This strategy is being implemented through an increasing number of projects and programmes.

UNDP indicated its awareness that poverty reduction depended on the sustainable use of natural resources and vice versa. The Programme, being one of the three main implementing organizations of the Global Environment Facility, emphasized its significant presence on the ground, and well-established system of quality control through its Regional Service Centres. UNDP further stated that its achievements in the area of environmental sustainability included the creation of new protected areas in 50 countries through the implementation of biodiversity projects funded by the Global Environment Facility, ensuring the prevention of carbon dioxide (CO_2) emissions, assistance to over 100 countries and 20 international water bodies in ensuring long-term environmental sustainability,

and the elimination of 63,000 tons of ozone depleting substances in 100 countries since 2001 under the Montreal Protocol on Substances that Deplete the Ozone Layer,[7] which has also produced significant climate benefits.

UNDP stated that *Human Development Report 2009*, entitled *Overcoming Barriers: Human Mobility and Development*, to be launched in October 2009, would take as its starting point the extraordinarily unequal global distribution of capabilities, which could be compounded by policy distortions, and elaborate on recommendations to enhance the human development outcomes of migration.

UNDP noted that it was also leading efforts by the European Commission, the Office of the United Nations High Commissioner for Refugees (UNHCR), the United Nations Population Fund (UNFPA), ILO and the International Organization for Migration to implement the Joint Migration and Development Initiative, whose overall objective was to support civil society organizations and local authorities seeking to contribute to linking migration and development and aiming at, inter alia, identifying good practices in this field and sharing information on what actually worked at the local and international levels, with a view to contributing to policymaking on migration and development.

World Trade Organization

[Original: English]
[3 August 2009]

The World Trade Organization stated that the General Assembly had clearly recognized the unique role that multilateral mechanisms played in meeting the current challenges and making use of the opportunities presented by globalization. In this regard, the World Trade Organization noted that that role, as interlinked with a universal collective framework of rules and disciplines, was embedded in its foundations and functions. Transparency, coherence and equity are the driving forces behind the operation of the multilateral trading system, as they are behind the functioning of the human rights mechanisms.

The World Trade Organization noted, in making reference to their collective historical background, that both the multilateral trading system and the human rights mechanisms had several features in common, both having been the outcome of a post-Second World War movement that had established institutions to maintain international peace, security and prosperity. The multilateral trading system has found its place within a universal framework of rules and disciplines; and as one of the complementary elements within the network of global governance, it supports the fulfilment of human rights aspirations through the substantial reduction of barriers to trade, the elimination of discriminatory treatment in international trade relations and the peaceful settlement of disputes through the rule of law.

The World Trade Organization stated that opening up international trade went hand in hand with growth and development and generated efficiency in raising standards of living; in this way, it could contribute to the actual improvement in the area of human rights. Nevertheless, this is not an automatic process and presupposes

[7] United Nations, *Treaty Series*, vol. 1522, No. 26369.

that existing rules are global and just and reflect the needs of all who adhere to them.

The World Trade Organization also stated that the present set of rules and agreements that collectively formed the multilateral trading system did not entirely reflect the changes in terms of composition and demands that the World Trade Organization was facing in today's globalized world of trade. The call for rebalancing the rules and directing them towards the needs of developing countries had constituted the most important factor behind the decision of World Trade Organization member States to launch the Doha Round of negotiations in 2001. The strongest drivers of this conviction that change was needed were the changing economic, social and environmental features of the international system and the recognition of a shared responsibility for addressing the development and poverty challenges dominating today's international agenda.

Moreover, the World Trade Organization highlighted the fact that, in economic terms, the multilateral trading system had contributed significantly to economic growth, development and employment. Trade is recognized as one of the driving forces of globalization and the role that trade plays in fostering economic development and alleviating poverty is a clearly established one, inasmuch as it has generated gains for many developing countries. The reverse effects of collapsing trade volumes on growth, employment and stability show both the importance and the vulnerability of trade in current circumstances. In 2001, ministers of all member countries of the World Trade Organization had been determined to maintain the process of reform and opening of trade policies, so as to continue to ensure that the system played its full part in promoting recovery, growth and development.

The World Trade Organization also stated that, given the importance of international trade for economic development and poverty alleviation, its members sought to ensure that addressing the needs and interests of the majority of the members — developing and least developed countries — was at the heart of the system's functioning. Along these lines, the World Trade Organization sought the adaptation and reform of the multilateral trading system in such a manner as to ensure that the majority of its shareholders would be able to secure a share in the growth of world trade that was consonant with their economic and development needs.

The World Trade Organization stated that this change in its priorities was reflected in the daily operations of the Organization, as well as in the negotiating positions of its members. Several of the system's key functions have been reinforced and redirected towards the needs and interests of developing and least developed countries. Providing guaranteed market access, reforming the rules in favour of developing countries and building demand-driven and sustainable technical assistance and capacity-building programmes exemplify the central role that development plays in the present operations of the World Trade Organization. The ongoing Doha negotiations continue to show that the World Trade Organization membership has collectively embraced the notion that the multilateral trading system plays a crucial role in advancing the position of most if not all of the poorer countries in the world and that much work remains to be done in fulfilling the multilateral system's potential for creating welfare.

In this respect, the World Trade Organization noted that the current economic and financial crisis did pose a serious threat to the developmental progress achieved

so far. The crisis is a global one, one that will require global solutions. No economy in the world is immune to its spread; and although there are some signs of stabilization on the financial markets, the crisis is far from over, in particular for many developing countries that have only now become fully exposed to the economic and social effects of the crisis. Given the explicit negative impact of the crisis on many of the poorer economies in the world, the international community needs to act together to help them find the margin of comfort needed to absorb this impact. Many developing countries currently do not have the means to avail themselves of the fiscal stimulus packages required to reboot their economies, nor do they have subsidies available to support their agriculture or business communities through the crisis. They lack the social safety nets needed to protect their populations from declining incomes and the possibility of their being pushed back under the poverty line.

The World Trade Organization has projected that in 2009, trade volumes will contract by as much as 10 per cent, entailing a 14 per cent decline for developed countries, and a 7 per cent decline for developing countries. Together with the sharp drop in global production and demand in 2008 and a further expected contraction in 2009, current developments put at stake the very benefits that trade has produced as one of the engines of growth.

The World Trade Organization emphasized that this is of particular concern to developing countries, which are disproportionately affected because of falling demands for both commodities and finished goods, negative commodity price trends and increased difficulty in accessing costly trade financing. Export earnings and Government revenues will likely continue to be depressed in many developing countries, while remittances from rich countries have already shrunk. Finally, FDI inflows to developing countries are expected to decline in 2009, in some countries by as much as 40-50 per cent.

The World Trade Organization stated that the situation might be further exacerbated, inasmuch as there was the risk of an increase in protectionist measures, which were likely to create a downward economic spiral. The World Trade Organization monitors the trade and trade-related measures taken by its members in the context of the crisis. Its most recent report indicates that there are further negative tendencies towards more trade-restrictive actions, but that resort to high-intensity protectionism has been contained. Moreover, there are signs of an improvement in the trade policy environment in the form of trade-opening and -facilitating measures. However, despite continued calls from the world's leading economies to refrain from resorting to protectionism, there is no clear indication that there will not be a resurgence of protectionism.

Furthermore, the World Trade Organization also emphasized that it was crucial to keep opening up trade through the conclusion of the Doha Development Agenda. The recent commitment by a large number of members to achieve a conclusion by the end of 2010 is both a welcome and much-needed sign of the recognition of the importance of multilaterally agreed trade rules and disciplines. The existing rules already recognize legitimate trade measures and action, and a further strengthening of those measures that are focused on equitable development would be one of the most important collective actions that Governments around the world could take. An ambitious, balanced and development-oriented conclusion to the Doha Development Agenda would ensure that the global trading system remained open to supporting

the development efforts of all countries. The World Trade Organization further stated that the Doha Development Agenda was the best available multilateral stimulus package and that concluding it was the surest way of safeguarding individual trade interests and the multilateral trading system against an outbreak of protectionism.

The World Trade Organization indicated that, in the context of the current financial crisis, international banks and other credit providers were not able to supply sufficient credit at affordable rates, as demanded by traders. Further to the commitment to increase aid that had been agreed by world leaders at the 2009 G-20 Summit in London, the existing trade financing gap is being addressed by both Governments and multilateral development banks. However, more action is needed, in particular in terms of building stable and longer-term productive capacity and infrastructural networks in developing countries.

The World Trade Organization noted that the need for predictable, sustainable and non-debt-creating finance had been reiterated during its Second Global Review on Aid for Trade, held in Geneva in July 2009. Aid for Trade is a stimulus that many developing and least developed economies need in order to build their productive capacity and to be able to use trade as a tool for poverty reduction. The Review demonstrated that since 2005, Aid for Trade had grown by 10 per cent per year, bringing the total new commitments to the level of more than 25 billion United States dollars in 2007. Moreover, non-concessional aid from international financial institutions has added another US$ 27 billion, more than doubling the 2007 figure. In this context, the World Trade Organization noted that there was a clear need to build upon the progress made within the regional dimension of Aid for Trade and to intensify the work of the WTO and its regional partners, including regional development banks, bilateral donors and the private sectors. Recipients of Aid for Trade have clearly indicated that it is one of the most important multilateral instruments for helping developing countries deal with problems emanating from the financial crisis and allowing them to emerge from it in a better position to take advantage of trading opportunities.

The World Trade Organization highlighted the fact that Aid for Trade and a successful conclusion of the Doha Round were two global tools that the international community could — and should — use to combat the negative effects of the crisis. Both Aid for Trade and the Doha Round were the outgrowth of mutual interests and cooperation and provide a further opportunity to reinvigorate multilateral cooperation and affirm its importance. Strengthening the rules of the multilateral trading system and locking in countries' trade policy ambitions and aspirations act as important multipliers of improved and more efficient global governance.

The World Trade Organization also emphasized that the fundamental disciplines that had thus far guided international trade were crucial to supporting economic recovery, growth and development and thus a more efficient and sustainable realization of human rights. The World Trade Organization underlined its position on globalization, namely, that it has been and can continue to be a source of welfare creation as long as the international community stands ready to harness — and regulate — it through policy and law.

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Item 48 of the provisional agenda*
Global road safety crisis

Improving global road safety

Note by the Secretary-General

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Summary

The present report, prepared by the World Health Organization in consultation with the regional commissions and other partners of the United Nations Road Safety Collaboration, provides an update on the status of implementation of the recommendations contained in General Assembly resolutions 58/289, 60/5 and 62/244 on improving global road safety. The report describes ongoing activities and a series of global road safety developments that have occurred over the past two years, indicating that collaborative advocacy efforts have had a significant impact. The growth in collaborative projects to implement road safety measures, alongside the great number of road safety actions that are being taken at the local, national and international levels, indicate an increasing recognition by Governments and other stakeholders that action to improve road safety is urgent. The report notes, however, that road traffic injuries continue to threaten health and development gains around the world. An ambitious road safety vision and commensurate funding are required to address the global crisis effectively. The report concludes with a number of recommendations for consideration by the Assembly, which would facilitate both international support for road safety and the implementation of effective interventions known to improve road safety at the national level.

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I. Introduction

1. Road traffic injuries remain a major public health problem and a leading cause of death, injury and disability around the world. Each year, nearly 1.3 million people die and between 20 million and 50 million more are injured as a result of road crashes. More than 90 per cent of these deaths occur in low-income and middle-income countries, which have less than half of the world's vehicles. Road traffic injuries are among the three leading causes of death for people between 5 and 44 years of age.

2. Road traffic injuries threaten to hinder achievements in economic and human development. It has been estimated that global losses due to road traffic injuries total $518 billion and cost Governments between 1 and 3 per cent of their gross national product. In some low- and middle-income countries, the loss is more than the total amount of development assistance they receive. Road traffic injuries place a heavy burden on a country's economy as a result of their direct impact on health-care and rehabilitation services, as well as through indirect costs. They also can put considerable financial stress on affected families, who often must absorb medical and rehabilitation costs, funeral costs and such other costs as the lost earnings of the victim, in addition to extensive emotional strain.

3. The economic, social and health losses resulting from road traffic injuries are not inevitable. There is substantial evidence confirming that road traffic injuries can be prevented. Experience from around the world has identified that the creation of an adequately funded lead agency on road safety and an accurate assessment of a country's road safety situation are important steps that need to be taken to effectively tackle road traffic injuries. A number of factors have been identified as increasing the risk of traffic-related injuries, including inappropriate and excess speed, non-use of seat belts and child restraints, drinking and driving, non-use of helmets by riders of motorized two-wheelers, poorly designed or insufficiently maintained road infrastructure and vehicles that are old, not well maintained or that lack safety features. Regulatory and other actions that address those risk factors have led to dramatic decreases in road crashes in many countries. The provision of emergency trauma care services has also been shown to be important in mitigating the negative impacts of road traffic crashes.

4. Over the past four or more decades, many regional and global road safety initiatives have been implemented. On World Health Day 2004, publication of the World Health Organization/World Bank *World Report On Road Traffic Injury Prevention* helped catalyse action. The report stresses the role of many sectors in the prevention of road traffic injuries and describes the fundamental concepts of road traffic injury prevention, the magnitude and impact of road traffic injuries, the major determinants and risk factors and effective intervention strategies. As such, it serves as both an advocacy tool and a technical document containing six major recommendations on what countries can do to address the problem of road traffic injuries.

5. Following publication of the *World Report* in April 2004, the United Nations adopted resolution 58/289, sponsored by Oman and entitled "Improving global road safety", which recognized the need for the United Nations system to support efforts to address the global road safety crisis. In the resolution, the General Assembly invited the World Health Organization (WHO), working in close cooperation with

the regional commissions, to act as a coordinator on road safety issues within the United Nations system. It also underlined the need for the further strengthening of international cooperation, taking into account the needs of developing countries, to deal with issues of road safety.

6. In May 2004, the World Health Assembly adopted resolution WHA 57.10, in which it accepted the General Assembly invitation for WHO to act as the coordinator on road safety issues. In the resolution on road safety and health, Member States were also called upon to prioritize road safety as a public health issue and to take steps to implement measures known to be effective in reducing road traffic injuries.

7. In October 2005, the General Assembly adopted resolution 60/5, in which it underlined the importance for Member States to pay particular attention to road traffic injury prevention. In the resolution, the Assembly invited the regional commissions and WHO to organize jointly the first United Nations Global Road Safety Week and invited Member States and the international community, to recognize the third Sunday in November of every year as the World Day of Remembrance for Road Traffic Victims.

8. On 31 March 2008, the General Assembly adopted resolution 62/244 entitled "Improving global road safety", the third major resolution on the issue, in which it reaffirmed the importance of addressing global road safety issues and the need to further strengthen international cooperation and knowledge-sharing in road safety and increase related financial support, taking into account the needs of developing countries. In the resolution, the Assembly also welcomed the offer by the Government of the Russian Federation to host the first global high-level (ministerial) conference on road safety in 2009. In the resolution, the Assembly requested the Secretary-General to report to it at its sixty-fourth session on progress made in improving global road safety.

9. Member States have taken a large number of measures to strengthen legislation improve data collection and develop national and local road safety strategies and programmes. These initiatives are too numerous to detail in the present report; however, some have been described in the recently released *Global Status Report On Road Safety* (see para. 37 below). The focus of the preset report is thus on international and regional road safety efforts.

II. United Nations Road Safety Collaboration

10. In accordance with the mandate conferred upon it by the General Assembly, WHO has worked closely over the past five years with the regional commissions to coordinate the United Nations Road Safety Collaboration (hereafter referred to as the "Collaboration"), a group comprised of United Nations and international organizations committed to improving road safety. As of June 2009, the group comprised 12 organizations of the United Nations system, including WHO, the World Bank, the five regional commissions, the United Nations Development Programme, the United Nations Human Settlements Programme, the Office of the United Nations High Commissioner for Refugees, the World Food Programme and the United Nations Children's Fund (UNICEF). Approximately 50 other agencies working in international or regional road safety, with a broad range of skills and experience, are also represented. The number and range of sectors represented by

the participating organizations (Governments, non-governmental organizations, donors, research agencies and the private sector) from the transport, health and safety sectors attest to the broad support for this collaborative effort.

11. To date, the Collaboration has met biannually, a total of 10 times. Where possible, meetings each year alternate between WHO headquarters in Geneva, Switzerland, and the offices of a regional commission. Members of the Collaboration share the common vision that death and injury should not be the price of mobility. The goal of the Collaboration, developed through mutual consensus by participants, is to facilitate international cooperation and to strengthen global and regional coordination among United Nations agencies and other international partners to implement General Assembly resolutions 58/289, 60/5 and 62/244 and the recommendations contained in the *World Report On Road Traffic Injury Prevention*, and thereby support country programmes.

12. A number of objectives to meet the goal have also been identified, including supporting assessments of the road safety situation and the existing facilities of countries to address the problem; developing guidance and support for effective road safety interventions; disseminating good practices; providing capacity development on road safety issues; advocating and encouraging the demand for road safety; strengthening global and regional coordination on road safety; and improving the safety of United Nations fleets for all road users. These terms of reference for the Collaboration were endorsed at its 9th meeting held in November 2008 in Geneva.

III. Work of the United Nations Road Safety Collaboration

A. Technical support

13. The Collaboration, through a consortium of four partners (the FIA Foundation, the Global Road Safety Partnership, the World Bank and WHO), has continued to develop the series of manuals that provide guidance to countries on how to implement good practices in road safety as identified in the *World Report on Road Traffic Injury Prevention*. In addition to the initial manuals *Helmets: a Road Safety Manual for Decision-Makers and Practitioners* (2006) and *Drinking and Driving: a Road Safety Manual for Decision-Makers and Practitioners* (2007), the Collaboration has published the third and fourth manuals in the series: *Speed Management: a Road Safety Manual for Decision-Makers and Practitioners* (2008) and *Seat-belts and Child Restraints: a Road Safety Manual for Decision-Makers and Practitioners* (2009).[1] A manual on data systems for road safety is in the final stages of development and is expected to be published by the end of 2009, as are products relating to fleet safety and safer road infrastructure.

14. Various members of the Collaboration are providing technical support to countries for the implementation of the good practice manuals. The manuals are being used strategically and practically to support targeted actions to reduce road crashes and serious injuries, particularly in low-income and middle-income countries, including Benin, Brazil, Cambodia, Indonesia, Mexico, the Russian

[1] All manuals are available for free download from http://www.who.int/roadsafety/projects/manuals/en/.

Federation, Thailand and Viet Nam. Two good examples of taking theory into practice through the use of the manuals are evident in Cambodia, and Viet Nam. In Cambodia, the National Road Safety Committee and associated key stakeholders in Cambodia have used the *Helmets* (2006) manual to guide a process for developing a helmet standard and associated legislation to enforce the wearing of the approved helmet in order to reduce the number of serious injuries and fatalities of motorcyclists. In Viet Nam, a workshop was held, with over 200 participants from Government, business and civil society to develop a country programme based on the scientific evidence offered by the *Drinking and Driving* (2007) manual. The first step in Viet Nam has been to amend the drinking and driving legislation by setting and enforcing blood alcohol concentration limits for drivers of cars and motorcycles.

15. Several partners have begun to provide technical assistance for road safety data collection and the development of data systems. In July 2009, the National Highway Traffic Safety Administration of the United States of America hosted an international road safety data systems workshop that brought together multisectoral delegations from six low- and middle-income countries. The workshop was based on the draft good practice manual on data systems and was co-organized with WHO, the United States Centers for Disease Control and Prevention and the Global Road Safety Partnership.

16. The World Bank Global Road Safety Facility is supporting a diversified portfolio of capacity-building, programme delivery, infrastructure safety, research and development, advocacy and training and workshop activities and is conducting operations in over 25 countries, linking Facility-sponsored road safety management capacity reviews and infrastructure assessment programmes to country investment operations. The Facility is also supporting the development of standardized data methods for measuring road deaths and injuries through its work with the global burden of disease team and the creation of the international road policing organization, RoadPOL, a global traffic safety police network led by a law enforcement advisory panel comprising high-ranking international police professionals. The Facility signed a memorandum of understanding with the International Road Assessment Programme and is supporting country operations to develop and implement road assessment methodologies and to recommend affordable, high-return quality investments. It also has memorandums of understanding with the International Road Federation to develop and implement road traffic training modules and the International Traffic Safety Data and Analysis Group to facilitate partnerships between Group member country experts and professional peers in low- and middle-income countries.

B. Policy development

17. The Working Party on Road Traffic Safety of the Economic Commission for Europe finalized and published the updated versions of the consolidated resolutions on road traffic and on road signs and signals. The resolutions contain best practices for road safety and are aimed at supplementing the conventions on road traffic and on road signs and signals, 1968, and the European agreement of 1971 supplementing them. The resolutions are reference tools providing guidelines to be implemented by countries on a voluntary basis, to improve, on the one hand, road safety, and to make possible, on the other hand, greater harmonization of regulations at the

international level. It is hoped that Governments will extensively implement the recommendations contained therein. The World Forum for Harmonization of Vehicle Regulations has also adopted new Economic Commission for Europe (ECE) and global regulations on a number of components to improve vehicle safety and motorcycle safety worldwide.

C. Advocacy

18. Since the adoption of the World Day of Remembrance for Road Traffic Victims, pursuant to General Assembly resolution 60/5, the observance has spread to a growing number of countries on every continent. The Day has become an important tool in global efforts to reduce road casualties. It offers an opportunity for drawing attention to the scale of emotional and economic devastation caused by road crashes and for giving recognition to the suffering of road crash victims and the work of support and rescue services. In 2008, remembrance services and other related events were held in such countries as Argentina, Australia, Brazil, Brunei Darussalam, Canada, India, Japan, Mexico, Nigeria, the Philippines, South Africa, Uganda and the United States, and almost every country in Europe. A dedicated website was also launched to make the Day more widely known and to link countries through sharing common objectives and the remembrance of people killed and injured in crashes.

19. In November 2007, WHO organized a meeting on the private sector and road safety, held at the Michelin Challenge Bibendum in Shanghai, China. The meeting convened 25 representatives from multinational private companies to: identify the private sector's "added value" and increase its involvement in road safety; share information on how private sector companies can improve safety on the road for their own employees and their contractors; discuss how private sector companies can support national and international road safety initiatives; and explore other steps that can be taken by the international community to increase awareness in road safety efforts by private companies. Follow-up meetings were held in Budapest in November 2008, hosted by Johnson & Johnson, where the Private Sector Road Safety Collaboration was formally created, and in Paris in May 2009, hosted by Michelin. The three main objectives of the network are to: improve business practices in order to enhance the safety of personnel, their families and other road users; contribute a collective private sector voice to the work of the United Nations Road Safety Collaboration and other entities; and collectively support actions that would enhance global road safety generally.

20. A conference on safe road infrastructure was held at the London headquarters of the European Bank for Reconstruction and Development on 4 July 2008, hosted by the organization's president, and organized by the Commission for Global Road Safety. The conference brought together representatives of the World Bank, the African Development Bank, the Asian Development Bank, the Inter-American Development Bank, the European Investment Bank, the European Commission and leading donor countries to discuss the harmonization of road safety procedures in road-building and road-upgrading projects, in line with the recommendations of the Paris Declaration on Aid Effectiveness. A new infrastructure safety working group consisting of the major players in road infrastructure development aid was established by the World Bank Global Road Safety Facility to seek ways of harmonizing a systematic and coordinated approach to quality in assuring the safety

of road infrastructure investments across participating international financial institutions. The working group has since conducted a survey of its member infrastructure safety practices and is seeking consensus on shared good practices for future infrastructure investment operations.

21. The Commission for Global Road Safety met in Saint Petersburg, Russian Federation, in September 2008 at the invitation of the Government of the Russian Federation, and discussed a progress report on the work of the Commission and its "Make roads safe" campaign of 2006, noting in particular the successful adoption of its proposal for the first global ministerial meeting on road safety. The Commission also approved a new recommendation, proposing that the United Nations should agree to a decade of action for road safety in the decade leading up to 2020.

22. In December 2008, WHO and UNICEF launched the *World Report On Child Injury Prevention*. The report provides a comprehensive assessment of unintentional childhood injuries and prescribes measures to prevent them. It highlights the importance of road safety for children. The findings of the report indicate that road traffic injuries are the leading cause of death among 10 to 19 year-olds, a significant cause of non-fatal injuries and a leading cause of child disability. The report concludes that if proven prevention measures, including several road safety interventions were adopted worldwide, at least 1,000 children's lives could be saved every day. The global launch was hosted by the Government of Viet Nam.

23. In February 2009, the first International Conference on Road Safety at Work was hosted in Washington, D.C. More than 200 people attended the Conference, which was organized by the United States National Institute for Occupational Safety and Health of the Centers for Disease Control and Prevention and co-sponsored by WHO, the Pan American Health Organization, the International Labour Organization, the National Safety Council, the United States Department of State and the World Bank Global Road Safety Facility. Breakout sessions covered a range of topics, including fleet safety policies, risk management strategies and occupational road safety in emerging markets. The Conference clearly demonstrated that road traffic injuries are an important occupational safety issue and that occupational road traffic injuries are a key component of the overall road safety problem. Several examples of how to effectively tackle the problem were given by both Governments and private companies. The Conference organizers hope to hold another international conference within two to three years and are already planning regional meetings that will address local priorities and challenges.

24. Following the World Youth Assembly in April 2007, 75 youth delegates formed a global youth network for road safety, with the goal of creating an international youth-led and youth-oriented nongovernmental organization (NGO) for road safety. Significant progress has been made in shaping the non-governmental organizations. A taskforce of young road safety advocates met in March 2009 to define the mission, objectives and possible activities of the non-governmental organizations. The non-governmental organizations will be launched in 2010 and will focus on three strategic pillars: advocacy, connecting and sharing and capacity-building. The next steps involve expanding the youth network, sorting out the organizational structures and developing a fund-raising strategy.

25. On 5 May 2009 Lord Robertson, Chairman of the Commission for Global Road Safety, launched the report entitled *Make Roads Safe: A Decade Of Action For Road Safety*. The report proposed a global target to reduce by 50 per cent the 2020

forecast of road deaths, and estimated that achieving the target would save up to 5 million lives and prevent 50 million serious injuries over the decade. To support the objective, the Commission recommended that the international community should fund a $300 million, 10-year, catalytic action plan to build national and international capacity in road injury prevention. The "Make roads safe" campaign has launched an advocacy push to build support for the proposed decade of action. Endorsements for the proposal have come from a wide range of public figures including President Arias of Costa Rica, President Arroyo of the Philippines and President Kikwete of the United Republic of Tanzania; former United States President Clinton; Archbishop Desmond Tutu; the President of the World Bank Robert Zoellick and the Executive Director of the United Nations Environment Programme, Achim Steiner. One element of the advocacy campaign is a documentary film on global road safety, entitled *Turning Point*, featuring actress and "Make roads safe" ambassador Michelle Yeoh, which was broadcast worldwide on the BBC News in May 2009 and has been widely distributed to road safety organizations and decision makers.

26. In May 2009, WHO hosted a global meeting in Brussels of non-governmental organizations advocating for road safety and road victims. Seventy organizations from 40 countries participated. The objectives of the meeting were to: foster a greater understanding of the expertise and needs of non-governmental organizations dealing with road safety and road victims; share knowledge, experiences and approaches related to advocating for road safety and road crash victims; and identify opportunities for greater collaboration among those non-governmental organizations and other organizations. Participants shared strategies for mobilizing policymakers, for communicating the message and for improving services for victims and their families and discussed the creation of a global non-governmental organization network. Participants developed a statement from the non-governmental organizations for presentation at the first global ministerial conference on road safety, to be held in November 2009.

D. Regional meetings

27. As a follow-up to the ministerial declaration on improving road safety in Asia and the Pacific (November 2006), a series of expert group meetings on improving road safety were organized by the Economic and Social Commission for Asia and the Pacific (ESCAP) in 2008 and 2009. The expert group meetings focused attention on setting regional and national road safety goals and targets that, if achieved, would lead to saving 600,000 lives by 2015. Countries in the Asia region face similar challenges in relation to road trauma, and a strong network of road safety practitioners and specialists is being built in the Asia region to address the issue. Each year, the Global Road Safety Partnership jointly organizes a road safety seminar with a host country to provide opportunities for every country in the region to share and disseminate information on the progress and outcomes of their road safety programmes and projects. In Kuala Lumpur over 230 people from the Asia region, including representatives of China and India, attended the 2008 seminar. Presentations were largely clustered around the good practices manuals. In addition to the sharing of information about interventions, the seminar also addressed general issues, key documents and initiatives that have had an impact on the region, and future regional plans.

28. The Working Party on Road Traffic Safety of ECE hosted a joint meeting with the Collaboration in November 2008. The work of the Working Party is of global relevance since it is open to all the States Members of the United Nations irrespective of their geographical location, and its primary function is to serve as a guardian of the convention on road traffic (1949, Geneva) and the conventions on road traffic and on road signs and signals (1968, Vienna), which are global conventions. In addition, it administers the European Agreement that supplements the 1968 conventions, develops and promotes good road safety practices and supports the organization of road safety weeks. The Commission organized the joint meeting to facilitate information sharing and to explore possible cooperation on subjects of common interest. The Working Party and the Collaboration updated each other on various activities and discussed World Remembrance Day, the challenge of knowledge transfer from high-income to low-income and middle-income countries and strategies for the upcoming global ministerial conference on road safety.

29. In October 2008 a workshop on building the Arab Mashreq road safety partnership was organized by the Economic and Social Commission for Western Asia (ESCWA), the Global Road Safety Partnership and the private sector, in collaboration with the Ministry of Interior in Qatar, and the participation of the WHO Regional Office for the Eastern Mediterranean. The aim was to discuss the progress made in road safety management in member States, in addition to the establishment of an Arab Mashreq road safety partnership, its proposed objectives, structure and activities. The main outcome was the initiation of a regional road safety partnership to act as a road safety centre of excellence to facilitate the sharing of knowledge and to synchronize road safety efforts throughout the region. More specific points of action were included in "The Doha declaration", one of the outcomes of the workshop. As agreed by all the partners, the name of the partnership was changed to "Middle East and North Africa Partnership on Road Safety".

30. In February 2009, the Road Safety Forum for Ibero-America and the Caribbean was held in Madrid. The meeting was organized by the Ibero-American General Secretariat in close cooperation with the Spanish Traffic General Directorate, the World Bank through its Global Road Safety Facility, the FIA Foundation; for Automobile and Society and the MAPFRE Foundation, and was also supported by the Royal Automobile Club of Catalonia. Representatives of over 35 countries participated, mostly from the Latin America and Caribbean region. The Forum had 680 participants, including 14 ministers and deputy ministers. It facilitated progress in reaching a consensus on principles, criteria and best practices regarding road safety in the relevant countries. The main recommendations were to: implement the recommendations of the *World Report on Road Traffic Injury Prevention*; make road safety a key factor in transportation planning; invest at least 10 per cent of all transportation infrastructure costs in road safety; have the media take a more active role in raising awareness; encourage the countries of the region to participate in the first global ministerial conference on road safety; support the proposed decade of action for road safety; and try to ensure that the current financial crises would not have a negative impact on road safety resources.

31. A workshop on setting regional and national road traffic casualty reduction targets in the ESCWA region was held in June 2009, organized by ESCWA, in collaboration with the United Arab Emirates National Authority for Transportation and with the active participation of the WHO Regional Office for the Eastern

Mediterranean. The workshop was part of a larger project that materialized in response to General Assembly resolution 60/5 to assist low- and middle- income countries in developing regional and national road traffic casualty reduction targets and in providing examples of good road safety practices that could help them to achieve the selected targets by 2015. Participants included representatives of related sectors from more than 10 Member States, ECE, ESCAP, specialists and consultants from the European Transport Safety Council, the International Road Federation, and the Global Road Safety Partnership, alongside representatives of civil society and road safety associations. The workshop provided an opportunity to network with the United Nations, developmental partners and key stakeholders. It concluded with a set of recommendations for a regional target to reduce road crash fatalities by 30 per cent between 2008 and 2015.

32. On 7 July 2009, a conference on the theme "Make roads safe Africa" was held in Dar es Salaam, organized by the Economic Commission for Africa, the Commission for Global Road Safety and the World Bank Global Road Safety Facility. More than 300 delegates from across Africa attended. Speakers included the Vice-President of the United Republic of Tanzania, Ali Mohamed Shein, and the transport ministers of Kenya, South Africa, the United Republic of Tanzania and Uganda, all of whom strongly endorsed the proposed decade of action for road safety.

E. Data collection and research

33. In October 2008, the Joint Transport Research Centre of the Organization for Economic Cooperation and Development (OECD) and the International Transport Forum published the report entitled *Towards Zero: Ambitious Road Safety Targets and the Safe System Approach*. The report was the result of a three-year cooperative effort by a group of safety experts representing 22 countries, as well as the World Bank, WHO and the FIA Foundation. The report takes stock of recent developments and initiatives in OECD and International Transport Forum member countries to meet increasingly ambitious road safety targets. It highlights the institutional management changes required in many countries to implement effective interventions through a strong focus on results and builds the economic case for road safety investment. The report advocates for ambitious road safety vision, setting measurable interim targets to move systematically towards the vision, and the use of a safe system approach for achieving the targets.

34. The five regional commissions are implementing a project on the theme "Improving global road safety: setting regional and national road traffic casualty reduction targets", funded by the United Nations Development Account. The overarching objective of the project is to assist low- and middle-income countries in developing regional and national road traffic casualty reduction targets, and in providing them with examples of good road safety practices that could help them to achieve the selected targets by 2015. It is likely that the objective will be attained by the end of the project (December 2009); a number of low- and middle-income countries have already set targets. The project findings will be made available as a resource for United Nations States Members wishing to establish targets to improve road safety. Increased awareness and commitment are needed to ensure follow-up to and sustainability of the project.

35. The Road Traffic Injuries Research Network, one of the Collaboration partners supported by the World Bank Global Road Safety Facility, conducted a multi-country study on helmet standards, using the standard observational methodology proposed in the *Helmets* manual as a starting point. In addition, the Network has offered nine scholarships to up-and-coming young road safety researchers in low-income and middle-income countries to assist them in conducting research at the master's level and three scholarships to senior researchers for sabbaticals at a university or international organization where they can share their skills and learn from other road safety professionals.

F. Ministerial conference on road safety

36. Preparations are under way for the first global ministerial conference on road safety, which will be hosted by the Government of the Russian Federation in Moscow, on 19 and 20 November 2009. The ministerial conference is expected to convene as many as 1,000 participants, including ministers of health, transport, education and foreign affairs; representatives of United Nations agencies; key figures from non-governmental and civil society organizations; representatives from private companies; and other leading road safety experts. It is anticipated that participants will issue a call for a decade of action for road safety, with a commitment to halt and begin to reverse the current trend towards an increase in the number of road traffic deaths. The objectives of the ministerial conference are to draw attention to the need for action to address the large and growing global impact of road traffic crashes, in particular in low- and middle- income countries; review progress on implementation of the *World Report on Road Traffic Injury Prevention* and the relevant General Assembly resolutions; provide a high-level global multisectoral policy platform to share information and good practices on road safety; and propose a number of actions for the future, including a discussion of the resources needed to fulfil those actions. The national organizing committee has led preparations for the ministerial conference, with support from an international consultative committee, including development of the programme and preparation of the declaration to be adopted during the event by Member States. The members of the Collaboration are actively involved in planning and supporting the ministerial conference.

G. *Global Status Report on Road Safety*

37. In June 2009, WHO launched the *Global Status Report on Road Safety* the first global assessment drawn from a standardized survey. More than 1,000 people, including various members of the Collaboration, were involved in compiling the report, and data were received from 178 countries. The results show that road traffic injuries remain important public health, social and economic problems, particularly for low-income and middle-income countries. Pedestrians, cyclists and motorcyclists make up almost half of those killed on the roads, highlighting the need for those road users to be given more attention in road safety programmes. The results suggest that in many countries road safety laws need to be made more comprehensive, enforcement needs to be strengthened and data systems and linkages need to be improved. The report clearly shows that while many countries have taken steps to improve road safety, significantly more action is needed to make

the world's roads safer. The results of the report form a baseline for measuring future progress.

H. Financial support

38. The World Bank Global Road Safety Facility is financing global, regional and country road safety activities to achieve its mission and goals as set out in its strategic plan 2006-2015. It was commended by the General Assembly for establishing the first such funding mechanism, and further financial contributions were encouraged to support the initiative, which is currently funded by the World Bank Development Grant Facility, the FIA Foundation and the Governments of the Netherlands, Sweden and Australia. The Government of the United Kingdom of Great Britain and Northern Ireland also recently announced its intention to financially support the Facility. Effective demand for Facility grants exceeds available funding and increasing the scale of financial support to the Facility to levels commensurate with the scale of the deaths and injuries on the roads of low- and middle-income countries remains a pressing priority. A recent independent evaluation concluded that the Global Road Safety Facility is uniquely positioned to translate commitment to road safety into action for low- and middle-income countries. It urged the World Bank, the traditional bilateral donor community and concerned philanthropies to redouble their efforts to ensure that the Facility had the resources at its disposal to support the growing global, regional and country commitment to combat the global road safety crisis.

39. An important new contribution to international road safety was made during the time period covered by the present report, in the form of a grant from Bloomberg Philanthropies for the development of the *Global Status Report on Road Safety* and for country projects in Mexico and Viet Nam. The Global Road Safety Initiative, funded by the private sector, focuses on implementation of the good practice manuals in target countries in Asia and Latin America and continues to support the transfer of road safety knowledge. The FIA Foundation, in addition to its support for the Global Road Safety Facility and its "Make roads safe" campaign, also continues to provide financial support to a range of programmes and advocacy activities. Several Government development agencies are also providing support for road safety activities. Other innovative funding opportunities are currently being explored.

40. Financial support for the Collaboration has been provided by the Governments of Sweden and the United States, the World Bank Global Road Safety Facility, Michelin, Johnson & Johnson and Scania.

IV. Conclusions and recommendations

41. Since the previous report to the General Assembly on improving road safety, many actions have been taken at the local, national and international levels. Existing initiatives have been maintained and gained momentum, such as the private sector network for road safety and World Remembrance Day. In addition, global road safety has experienced a series of "firsts" including the first International Conference on Road Safety at Work, the first global status report on road safety, the first global project on setting road traffic casualty reduction targets, the first meeting

of road safety non-governmental organizations, and the call for a first decade of action for road safety. This is indicative of the increasing recognition by Member States and other stakeholders that action for road safety is urgent.

42. Road traffic injuries, however, continue to threaten health and development gains around the world, with devastating impacts on individuals, families, communities and society. Vulnerable road users, such as pedestrians, cyclists and motorcyclists, who lack the protective shell of a car and who have been overlooked in many road safety strategies, are particularly at risk and in need of protection. Road traffic injuries are predicted to become the fifth leading cause of death globally by 2030, unless immediate action is taken. In some regions, in fact, road deaths are already the leading cause of death for the most economically productive age group between 15 and 44 years of age, and the second most important cause of death for the 5-14 year-old age group.

43. Key voices in road safety have begun to emphasize that massive increases in road deaths are not inevitable. The major risk factors for road traffic injuries are understood, as are the effective measures for addressing them. The knowledge is there — what are lacking are resources and political will. It is time for widespread implementation of a safe system approach to road safety. An ambitious road safety vision is needed globally, regionally and within countries.

44. Levels of funding for road safety are still not commensurate with the scale of the problem, and increased efforts must be made to secure additional financial support for road safety projects. In particular, road infrastructure interventions for improving road safety remain big challenges for developing countries, where the results of underinvestment are illustrated in terms of how they contrast with the very high social returns for safety interventions. The World Bank Global Road Safety Facility is an important tool for mobilizing such urgently needed support.

45. The first global ministerial conference on road safety will be an unprecedented opportunity for Member States and global road safety stakeholders to strengthen their commitment and collaboration by making action plans and identifying the next steps that will be needed to address this global crisis.

46. **It is therefore recommended that the General Assembly:**

(a) **Reaffirm its commitment to addressing the global road safety crisis;**

(b) **Call upon agencies of the United Nations system and other key partners to continue and to strengthen their cooperation in the context of the United Nations Road Safety Collaboration;**

(c) **Encourage Member States to continue using the *World Report on Road Traffic Injury Prevention* as a framework for road safety efforts and to continue implementing its recommendations, including adopting a systems approach to road safety;**

(d) **Call upon Member States to develop action plans and strategies in road safety, noting that the programmes should be seen to be cost-effective measures and profitable investments for Governments and other organizations to undertake, and to identify ambitious, measurable targets for those plans and strategies, with reference to the recommendations of the project on the theme "Improving global road safety: setting regional and national road traffic casualty reduction targets". Such plans should adopt a broad perspective on**

road traffic injury prevention that pays particular attention to the safety needs of vulnerable road users, including through improvements in public transport and road space for pedestrians and cyclists;

(e) Encourage Member States to improve their national crash data systems by establishing effective injury surveillance systems in the health sector and improved police crash data systems so that the scale and characteristics of the problem and of road users most at risk can be defined, hazardous locations can be identified and economic losses can be quantified;

(f) Encourage Member States to monitor progress in road safety, making use of the results and acting upon the recommendations of the *Global Status Report on Road Safety*, in particular in respect of protecting vulnerable road users;

(g) Encourage Member States to pay particular attention to building lead agency capacity; to addressing risk factors such as inappropriate and excessive speed, drinking and driving, the non-use of seat belts and child restraints, the non-use of helmets; to vehicle safety standards and the development of safe vehicle fleets; and to the development of safer infrastructure, including passing and enforcing comprehensive legislation, conducting necessary awareness-raising campaigns and implementing appropriate methods to monitor and evaluate existing interventions;

(h) Encourage Member States to introduce mandatory road safety audit, inspection and safety rating programmes at the key stages of the planning, design and implementation of all road infrastructures; and to develop the human capacity to carry out such activities;

(i) Invite Member States that have not yet done so to adhere to the Convention on Road Traffic, 1968, and the Convention on Road Signs and Signals, 1968, and to implement them in order to contribute to strategies for improving road safety in their countries;

(j) Encourage Member States to continue strengthening intersectoral dialogue on road traffic injury prevention and to support efforts to increase intersectoral collaboration in road safety initiatives;

(k) Encourage Member States to develop sustainable mechanisms for financing their national road safety programmes;

(l) Encourage the international development and road safety communities to support road safety projects, in particular in low- and middle-income countries;

(m) Encourage development banks and funding agencies to include road safety components in their funding for road infrastructure projects and to require compulsory road safety audits, inspections and safety ratings to be undertaken at key stages in the planning and design of, all aid-funded road projects;

(n) Acknowledge the importance of the World Bank Global Road Safety Facility as a means to increase the resources needed to address road safety in low- and middle-income countries; acknowledge the important contribution of Bloomberg Philanthropies and the Global Road Safety Initiative; call for

further expansion of investment in road safety along those lines; and encourage the development of additional innovative funding mechanisms involving the private and public sectors;

(o) Encourage Member States to strengthen efforts to improve pre-hospital care systems, emergency trauma care and rehabilitation services within their countries;

(p) Call upon Member States to continue raising awareness about road safety at the international and national levels through the organization of advocacy events and by scaling up existing efforts, in particular by encouraging observation of the World Day of Remembrance of Road Traffic Victims and by inviting WHO, in collaboration with the regional commissions, to organize the second United Nations Global Road Safety Week;

(q) Encourage Member States to participate in the global ministerial conference on road safety, to be held in Moscow on 19 and 20 November 2009, and to support efforts to establish a decade of action for road safety for the 10 years leading to 2020, with a commitment to halt and begin to reverse the current trend towards an increase in the number of road traffic deaths;

(r) Request that the Secretary-General report to the General Assembly at its sixty-sixth session.

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Item 133 of the provisional agenda*
Human resources management

Implementation of continuing appointments

Report of the Secretary-General

Summary

The present report presents additional information concerning the implementation of continuing appointments as requested in section II, paragraphs 3 and 4, of General Assembly resolution 63/250.

In order to facilitate the review of this issue by the General Assembly during the main part of its sixty-fourth session and with a view to implementing the continuing appointments by 1 January 2010, the Secretary-General has included information on the following issues: procedures for the granting and termination of continuing appointments, including eligibility criteria and the role of the performance appraisal system; financial and management implications of granting continuing appointments, including the possible establishment of a ceiling; and implications of the implementation of continuing appointments for the system of geographical ranges, for Junior Professional Officers and for successful candidates from competitive examinations.

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I. Introduction

1. In section II, paragraphs 2 and 3 of its resolution 63/250, the General Assembly approved the new contractual arrangements comprising three types of appointments (temporary, fixed-term and continuing) under one set of Staff Rules, effective 1 July 2009. The Assembly requested the Secretary-General not to grant any continuing appointment pending its further consideration of this issue at the main part of its sixty-fourth session.

2. Accordingly, and as requested in section II, paragraph 4 of resolution 63/250, the present report provides additional information on the following issues:

(a) Rigorous and transparent procedures for granting continuing appointments to staff, including the criteria for eligibility, the relationship with disciplinary measures and the central management of conversions;

(b) The role of, and options for, strengthening the performance appraisal system to ensure that staff members considered for conversion to continuing appointments have demonstrated the highest standards of efficiency, competence and integrity, taking into account any deliberations of the International Civil Service Commission on this issue;

(c) The financial and management implications of converting fixed-term to continuing appointments, and the possible establishment of a ceiling on the number of conversions;

(d) Analysis of the implications of the proposed continuing appointments for the system of geographical ranges;

(e) Rigorous and transparent procedures to review the performance of staff and the continuing need for functions when determining the granting and termination of appointment of a staff member, as well as clear and firm lines of accountability, to fully ensure that granting and termination of continuing contracts is undertaken in a fair and transparent manner, with full regard to the due process and the rights of staff;

(f) Options for ensuring that successful candidates from national competitive examinations and language staff are not disadvantaged by proposed changes;

(g) Analysis of the implications for Junior Professional Officers;

(h) The potential ramifications of the proposed amendment to staff regulation 9.1.

II. Background

3. The present report summarizes the Secretary-General's proposals concerning the implementation of continuing appointments taking into account the contractual framework of the United Nations common system adopted by ICSC as well as its subsequent report on the Secretary-General's proposals for the streamlining of

United Nations contractual arrangements.[1] Prior recommendations from the Advisory Committee on Administrative and Budgetary Questions on this issue[2] have also been taken into account. Under the ICSC framework, the continuing appointment is intended for career staff who provide programme continuity in core functions of the Organization. The Organization must have a continuing need for the core functions in accordance with its mandate before granting a continuing appointment that by its very nature is open-ended.

4. Formal consultations between the staff and the management of the United Nations on the Secretary-General's proposals were held during the last four sessions of the Staff-Management Coordination Committee. In June 2009, the Committee reaffirmed its support for the Secretary-General's proposals concerning the implementation of continuing appointments, which are detailed in section III below.

5. The separately administered funds and programmes would continue to have flexibility in the implementation of the new continuing appointment in respect of their own staff, taking into account their respective operational needs, as long as their use of the continuing appointment is in accordance with the Staff Regulations and Rules of the United Nations.

III. Implementation of continuing appointments as of 1 January 2010

A. Granting of continuing appointments

6. The Secretary-General proposes that a continuing appointment may be granted to a staff member who has a minimum of five years of continuous service with the Organization, provided that there is a continued need for his or her services in the Organization, that he or she meets the highest standards of efficiency and competence corresponding to a performance rating of 3 or above in the four most recent performance appraisal reports, and that he or she has not been subject to any disciplinary measure during the five years prior to the time of review.

B. Criteria for eligibility for consideration for a continuing appointment

7. The Secretary-General proposes that a Secretariat staff member with five years of continuous service in an entity that applies the Staff Regulations and the Staff Rules, irrespective of the type of appointment, i.e. staff members previously appointed under the 100, 200 or 300 series or appointed since 1 July 2009 under the new Staff Rules, would be eligible for consideration for a continuing appointment. Any break in service would interrupt the continuity for counting the five years of continuing service, and the clock would have to be reset. Service on a temporary appointment would not count towards eligibility for the continuing appointment.

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[1] *Official Records of the General Assembly, Sixtieth Session, Supplement No. 30* and corrigendum (A/60/30 and Corr.1), annex IV, and *Sixty-first Session, Supplement No. 30*, addendum (A/61/30/Add.1).

[2] A/63/256, A/61/537, A/59/446 and A/55/499.

8. Staff holding appointments limited to service in a particular office would not be excluded from consideration for continuing appointments. Normally, staff working in projects or entities with finite mandates would be excluded from consideration for continuing appointments due to the finite nature of their services; however, they could be considered for a continuing appointment provided there was a continuing need for the services of the staff member elsewhere in the Organization. Once a continuing appointment is granted, there would be no limitation to service in a particular office or department. The Advisory Committee on Administrative and Budgetary Questions supported this proposal in its report on human resources management (A/62/7/Add.14, para. 15).

C. Non-eligibility of Junior Professional Officers and associate experts

9. The General Assembly decided in section II, paragraph 24 of its resolution 63/250 that the period of service of Junior Professional Officers should not be taken into account as part of the requisite period of service for a continuing appointment. Accordingly, even though junior professional staff used to serve on 200 series appointments until 30 June 2009, their prior years of service as Junior Professional Officers will not count towards the attainment of the five years of continuous service required for eligibility for consideration for conversion to a continuing appointment. Similarly, their years of service as Junior Professional Officers under the new fixed-term appointment, to which they have been transitioned effective 1 July 2009, will also not count towards the five years of continuous service in the future.

10. Junior Professional Officers will continue to be considered external candidates for the purpose of the staff selection system for Secretariat vacancies, as their appointment under the Junior Professional Officer arrangement has not been reviewed by a central review body. The implementation of continuing appointments will therefore have no impact on this group of staff, which numbers 188 as at 30 June 2009.

D. Continuing need

11. The Secretary-General recalls that according to the International Civil Service Commission's contractual framework, continuing appointments are a tool to facilitate the strategic management of human resources for the attainment of the overall objectives of the organizations of the United Nations common system.[3] It would be consistent with this framework that continuing appointments be granted to staff in both the Professional and General Service categories without limitations, and that they could potentially be granted to staff in all duty stations, including missions, of the global Secretariat.

12. The Secretary-General has carefully considered the issue of continuing need, which would be one of the main criteria for the granting of a continuing appointment. This criterion is an important one in terms of the Secretariat being able to foresee a medium- to long-term continuation of any function, regardless of the

[3] Ibid., *Sixtieth Session, Supplement No. 30* (A/60/30), annex IV, para. 1.

source of funding. Whether it is in terms of posts funded from the regular budget, the peacekeeping support account or other extrabudgetary funding, it is the anticipated longevity of the programme in combination with the suitability of an individual for longer-term functions that would determine the continuing need for the services of the staff member concerned. The long-term need for a staff member's services would be reviewed with respect to:

(a) The need in the Organization for the particular functions performed by the staff member at the time of review;

(b) The need for the services of a particular staff member as it relates to his or her qualifications and past experience and training, that would demonstrate that he or she might have transferable skills with a potential to also perform long-term functions that may be different from those of the post he or she occupies at the time of review. A staff member's potential to perform a variety of functions, even across occupational groups, is an essential part of the Secretary-General's vision of establishing one global Secretariat, of which mobility and career development are integral components. In this regard the mobility requirements of the Organization, the policy on careers and the use of continuing appointments are mutually supportive strategic considerations for the Secretary-General's management of the human resources of the organization.

In the case of United Nations peacekeeping operations, continuing needs will be identified through workforce planning to project baseline staffing requirements needed for on-going functions and skills that are required in virtually all missions and are transferable among missions. This type of workforce planning was undertaken in the context of determining the composition of the proposed 2,500 civilian career peacekeepers presented in the Secretary-General's report on civilian career peacekeepers (A/61/850) and the addendum to the Secretary-General's report on investing in people (A/61/255/Add.1).

E. Financial and management implications

1. Possible establishment of a ceiling

13. The financial implications of converting fixed-term to continuing appointments are primarily linked to the financial liability of the Organization in relation to the payment of termination indemnity to holders of continuing appointments, should their appointments need to be terminated. The Secretary-General is aware that staff members holding fixed-term appointments would not represent the same liability as their contracts would expire on a given date, and they do not have any expectation, legal or otherwise, of renewal or conversion of their fixed-term appointments, as reflected in the Staff Regulations and the Staff Rules as well as in their offers and letters of appointments. This is consistent with the General Assembly's request in section II, paragraph 21 of resolution 63/250.

14. Establishing a cap or ceiling on the number of staff who would be eligible to be considered, or on who would be granted a continuing appointment could, potentially, limit the number of staff holding continuing appointments and the related financial liability to the Organization.

15. The Secretary-General, however, maintains the position that a ceiling on the number of conversions to continuing appointments would not be sound management

practice, as expressed in his report on streamlining contractual arrangements (A/63/298, para. 30). The Secretary-General considers that the imposition of a ceiling may result in excluding certain staff who are otherwise eligible for consideration for a continuing appointment on the basis of all the stated criteria. This would very likely expose the Organization to appeals in the internal justice system based on claims of arbitrariness and inequitable treatment of staff. Any ceiling placed on the number of conversions to continuing appointment might also perpetuate the perceptions of inequity among various groups of staff, which the contractual reform was originally intended to address. The introduction of a ceiling would seem to run counter to the very notion that the whole process is based on merit.

16. The Secretary-General also considers that a ceiling linked to particular posts, mandate or functions would be inconsistent with the Organization's operational requirements and mobility policy, as staff would be discouraged from applying for and accepting posts in specific projects or entities if they were to be ineligible for continuing appointments, thereby hampering mobility and undermining the capacity for effective programme delivery. In paragraph 39 of its report on human resources management (A/63/526), the Advisory Committee on Administrative and Budgetary Questions had also recommended against the establishment of a ceiling.

17. The Secretary-General is of the view that the proposed criteria for conversion to a continuing appointment (five years of continuous service, performance and continuing need) will already effectively exclude staff who do not meet the criteria of the highest standards of efficiency, competence and integrity (as a result of performance and/or disciplinary issues), do not reach five years of service (for various reasons of attrition including voluntary separation, retirement and end of project activities among others), or for whom the Organization does not envision a continuing need in the foreseeable future. These criteria would ensure that there is always a reasonable percentage of staff who remain on temporary and fixed-term appointments.

18. The staffing requirements of the global Secretariat have grown continuously over the years, which supports the Secretary-General's view that the implementation of continuing appointments without establishing a ceiling on the number of conversions would not affect negatively the financial liability of the Organization in the future. Human resources requirements of the Secretariat have consistently increased over the years and, today, cover a broad array of functions, demonstrating an evolving need for a versatile and mobile workforce.

19. The staff growth over the last 15 years underlines the continuing need for a global workforce to perform ongoing functions essential to the overall mandate of the Organization. Continuing contracts would considerably strengthen the ability of the Organization to respond to its evolving and increasingly complex operational needs, while promoting equality of treatment and providing increased job security for Secretariat staff across all duty stations and at all levels.

20. The table below shows the number of staff who would be eligible for consideration for conversion to a continuing appointment over the next five years, which would, in any case, be an inherently phased process, as noted by the Advisory Committee on Administrative and Budgetary Questions (see A/63/526, para. 39).

Number of staff eligible for continuing appointment, by year

Year	*Number of staff members*[a]
2009	692
2010	958
2011	868
2012	1 035
2013	958
Total	**4 511**

[a] Includes all Professional and related categories, and General Service and related categories not in field missions. Data on "Mission local staff" (General Service and related categories in field missions) will be made available at a later date.

21. It has been argued that the possible establishment of a ceiling on the number of continuing appointments is primarily linked to financial considerations as set out in paragraph 13 above. It could also be argued that a ceiling might contribute to increased competitiveness among staff within the Organization, in essence a means for improved on-the-job performance. The Secretary-General considers that the imposition of a ceiling would not be an effective tool for addressing performance issues, nor would it address the concern that conversion to continuing appointments should not be tantamount to automatic conversion. As for the creation of a separate mechanism for a competitive process to be used in determining suitability for continuing appointments, it would appear to be both costly and cumbersome, and would duplicate existing human resources systems.

22. The Secretary-General considers that the most appropriate tool to address staff members' performance is the performance management system, and the proposed requirement that staff members would need to have satisfactory performance appraisals in the last four reports and a clean disciplinary record over the past five years in order to be considered for a continuing appointment. With respect to competitiveness, the Secretary-General considers that the staff selection system fully ensures a highly competitive recruitment process for selection of candidates who meet the Organization's standards. The Secretary-General is therefore of the view that an arbitrary ceiling would not in any way be as effective as, or a substitute for, a highly effective and competitive recruitment system combined with a well-functioning performance evaluation mechanism.

23. Whereas the Secretary-General recognizes that a prudent approach would be required with regard to the number of conversions to continuing appointments, he considers that this would be adequately addressed through the proposed criteria for conversion as reflected in paragraph 6 above, which would, in themselves ensure that continuing appointments are not granted "automatically" and that there is always a percentage of staff that remain on temporary and fixed-term appointments.

24. Moreover, the Secretary-General considers that any advantage that might be linked to the establishment of a ceiling on the number of continuing appointments would be outweighed by its difficulties, and that a ceiling would become very burdensome from an administrative perspective. For example, if the Organization is to limit the granting of continuing appointments to a certain percentage of staff, it

would be necessary to determine from which "population" of staff the percentage should be drawn. Consideration would have to be given to, inter alia, whether a percentage should be applied to all staff members of the global Secretariat regardless of type of appointment; to staff on fixed-term appointments only; to staff serving against regular budget posts only or also to staff serving under extrabudgetary posts; whether the percentage should be linked to staff serving in specific functions and/or by departments or location; and whether staff members holding permanent appointments should be excluded. These are not hypothetical concerns; they are practical considerations, any of which could expose the Organization to possible claims by adversely affected staff.

2. Role of performance appraisal system, options for strengthening it and relationship with disciplinary measures

25. ICSC was initially of the view that the Secretary-General's proposal on continuing appointments would be tantamount to automatic conversion, and the Advisory Committee on Administrative and Budgetary Questions shared this concern.

26. The Secretary-General's proposal is that rigorous review of the performance of staff and the absence of any disciplinary measure, in addition to the criteria of continuing need, be used in deciding whether to grant a continuing appointment. A thorough review would be made of the staff member's performance, including examination of his or her official file and performance evaluations. The staff member would need to have received fully successful performance ratings for the last four years and should not have been subject to any disciplinary measure during the five years prior to the time of the review in order to satisfy the criteria of the highest standards of efficiency, competence and integrity.

27. As indicated in the Secretary-General's report on streamlining contractual arrangements (A/63/298), a staff-management intersessional working group was established in 2007 in order to develop mechanisms to strengthen the performance management system, including timely compliance by managers and staff with the performance appraisals policies and procedures. The working group is pursuing its detailed review of the current system and is scheduled to complete its report by the end of 2009. Various options were, however, discussed during the last session of the Staff-Management Coordination Committee (June 2009), including a possible 180/360 degree feedback mechanism; a new rating system; a strategy for mandatory performance management training for supervisors and managers and the introduction of special briefings and training sessions for staff and managers alike; and the strengthening of the role of the Management Review Committee and the Joint Monitoring Committee. All of these proposals are good ones and are feasible for eventual adoption and implementation.

28. While the Secretary-General will report to the General Assembly at its sixty-fifth session on the review of the current performance appraisal system as requested in section VI, paragraph 4, of resolution 63/250, the integrity of the performance appraisal ratings given to staff members under the existing performance appraisal system should be respected for the purpose of that review.

3. Rigorous and transparent procedures: central management of conversion

29. As previously indicated in the Secretary-General's report on streamlining contractual arrangements (A/63/298, para. 23), the Secretary-General proposes that all cases of staff members eligible for consideration for a continuing appointment should be reviewed by a joint review body, which would conduct a rigorous review of both the staff member's performance and the continuing need for the functions. In addition to the performance review mentioned in paragraph 26 above, the joint review body would consider whether the services and functions of the staff member are required by the Organization as a whole for the foreseeable future.

30. As previously indicated by the Secretary-General in his report on investing in people (A/61/255), and acknowledged by the General Assembly in paragraph 18 of resolution 63/250, there is a need to centrally manage the conversion to continuing appointments on a competitive and transparent basis. Following further discussions at the thirtieth session of the Staff-Management Coordination Committee, the Secretary-General proposes that the Office of Human Resources Management, on behalf of the Secretary-General, would retain overall authority to grant continuing appointments, which would be delegated to offices away from Headquarters and field missions for locally recruited staff. Accordingly, joint review bodies would be centralized for international staff while for local staff they would be established locally.

31. The Secretary-General's proposals have been further refined to include specific roles for the heads of department and the joint review bodies so that both the right of staff to due consideration and the responsibility of the Organization to ensure there is a continuing need for the functions are fully taken into account before any conversion to a continuing appointment is approved. The following internal procedures would be in place:

(a) For internationally recruited staff, as well as for staff at Headquarters in New York, the process would begin with the programme manager (in the field) or the head of department (at Headquarters) undertaking a review of eligible staff for their suitability for continuing appointments, taking into account the staff member's performance, disciplinary issues as well as his or her potential to perform continuing functions including functions other than those currently performed. For this purpose the local human resource office or the Department of Field Support in the field, or relevant executive offices at Headquarters, would provide, on a regular basis, departmental lists of staff members who would have reached the eligibility requirement for consideration for continuing appointment (i.e. five years of continuous service) to the programme managers or heads of departments;

(b) The recommendation coming out of this first review, positive or negative, would be submitted, in the field, to the local human resources office or the Department of Field Support, as appropriate, and at Headquarters to the Office of Human Resources Management. At this stage a second review would be carried out covering a review of the staff member's performance as necessary, and would also ascertain that he or she has not been subject to any disciplinary measure in the preceding five years, as well as determine whether there is a need for the staff member's services in the foreseeable future. From the field, the second review is submitted also to the Office of Human Resources Management, as the central focal point;

(c) If there is a joint recommendation (from the first and second reviews) that the staff member should be converted to a continuing appointment, the Office of Human Resources Management would send both recommendations to a joint advisory review body for review, and if all parties are in agreement, the staff member would be converted accordingly;

(d) If there is no joint positive recommendation, including cases where the programme manager/department/office concerned and the local human resources offices or the Department of Field Support Office (field) or the Office of Human Resources Management (Headquarters) both agree that the staff member should not be granted a continuing appointment, the Office of Human Resources Management would promptly inform the staff member. The staff member who would have the opportunity to review the report of the programme manager (field) or head of department (Headquarters) and that of the local human resources office or the Department of Field Support (field) or the Office of Human Resources Management (Headquarters) and submit his or her comments to the Office of Human Resources Management prior to any final decision being made;

(e) The Office of Human Resources Management would submit the case to the appropriate advisory body for review and advice. Subsequent to the review by the advisory body, the case would be submitted to the Assistant Secretary-General for Human Resources Management for a final decision on behalf of the Secretary-General. The Secretary-General would take a final decision with respect to staff members at the D-2 level and above;

(f) For purposes of upholding the central management of conversions, the Office of Human Resources Management would retain central authority for the granting of a continuing appointment, which would enable the Office to ensure that the granting or non-granting of continuing appointments is undertaken in a fair and transparent manner with full regard to due process and the rights of staff;

(g) Staff members would have the right to contest a negative decision through the internal justice system, since a decision not to grant a continuing appointment to an eligible staff member would constitute an administrative decision, which may be appealed under chapter X of the Staff Rules;

(h) In response to a concern raised by the Advisory Committee on Administrative and Budgetary Questions (see A/63/526, para. 36), the joint review bodies would consist of representatives of management and the staff. The Office of Human Resources Management would participate ex officio. The specific rules of procedure of such bodies would be drawn up but would be similar to the rules of procedure of comparable existing joint review bodies;

(i) For locally recruited staff in the field, authority to grant continuing appointments would be delegated to offices away from Headquarters and would follow a similar procedure as described above. Accordingly, joint review bodies would be established locally for reviewing such cases;

(j) The Staff-Management Coordination Committee considers that the outlined above procedures provide adequate safeguards for staff members. The Secretary-General's proposals are also fully in line with the contractual framework of the United Nations common system adopted by ICSC, which states that "appointment to a continuing contract is acquired through open and transparent

selection procedures in accordance with the organization's staff regulations and rules".[4]

32. As a central principle for the conduct of the review, it is important to underline that the persons involved directly in the review, whether at the departmental level, in the human resources offices or on the joint review bodies, must be capable of taking an organization-wide view and have enough knowledge to assess future requirements and staff potentials. The decision to grant a continuing appointment will have an impact on the organization as a whole and implies considerations which go beyond the area in which the staff member may be currently working.

4. Termination of continuing appointments with full regard to due process and rights of staff in a fair and transparent manner: potential ramifications of amendment to staff regulations 9.1

33. The joint review bodies would also review recommendations for termination of continuing appointments for (a) abolition of post or reduction of staff, (b) unsatisfactory service and (c) in the interest of the good administration of the Organization, as defined by the General Assembly in paragraph 22 of resolution 63/250, without the consent of the staff member, and reflected in the amended staff regulation 9.3 approved by the General Assembly in resolution 63/271.

34. Under the Secretary-General's proposal, a continuing appointment could be terminated for the following reasons:

(a) Abolition of post or reduction in the number of staff;

(b) Unsatisfactory performance;

(c) Health reasons;

(d) Disciplinary reasons;

(e) Facts anterior to the appointment of the staff member coming to light after recruitment, which, under the standards established by the Charter, would have precluded his or her appointment;

(f) In the interest of the Organization, if the staff member is in agreement;

(g) In the interest of the good administration of the Organization, without the staff member's agreement, pursuant to staff rule 9.6 (d).

35. The Secretary-General fully recognizes his obligation to protect staff members against arbitrary termination in this context, and proposes procedures with checks and balances in cases of termination of continuing appointments. In this respect, further to discussions held during the last four sessions of the Staff-Management Coordination Committee, and as recommended by the Advisory Committee on Administrative and Budgetary Questions (see A/62/7/Add.14, para. 23), the Secretary-General has developed the following internal procedures.

36. The programme manager would need to submit a detailed, reasoned and documented recommendation with supporting evidence in all cases pertaining to termination of a staff member, for a decision by the Assistant Secretary-General for Human Resources Management. At the same time, the programme manager would

[4] Ibid., para. 10.

discuss his or her recommendation with the staff member and provide him or her with a copy of the written submission.

37. The staff member concerned would be given the opportunity to review the recommendation for termination together with all relevant supporting documentation, and would be able to provide his or her comments before a final decision was made.

38. The Office of Human Resources Management would review the programme manager's recommendation along with the staff member's comments. Upon due consideration of all facts as presented by the parties concerned, it would decide to recommend (a) that the recommendation be approved; (b) that the case be returned for further review and/or additional information; or (c) that the recommendation not be approved.

39. The Office of Human Resources Management would submit its recommendation to the joint review bodies for review along with the programme manager's recommendation and the staff member's comments.

40. The Assistant Secretary-General for Human Resources Management, on behalf of the Secretary-General, would take a final decision taking into account the advice from the joint review bodies. The Secretary-General would take a final decision with respect to staff members at the D-2 level and above.

41. A decision to terminate a continuing appointment would constitute an administrative decision, which the staff member could appeal under chapter X of the Staff Rules.

5. Implications for the system of geographical ranges

42. With respect to possible implications of the implementation of continuing appointments for the system of geographical ranges, the Secretary-General clarified during the sixty-third session that the appointment status of a staff member and his or her type and duration of appointment are not linked. In other words, a staff member may currently be granted geographical appointment status while being appointed under a fixed-term or probationary/permanent appointment. A staff member may receive geographical appointment status only if he or she applies, and is competitively selected through standard recruitment procedures, for a regular budget post in the professional and higher categories that is subject to the system of desirable ranges established by the General Assembly in resolution 42/220 A of 21 December 1987. The base figure of the number of posts subject to geographical distribution was set on 1 January 1988 at 2,700. The figure is adjusted when the actual number of regular budget posts subject to geographical distribution increases or decreases by 100. This year, the base figure has been set at 3,300 as at 30 June 2009 (owing to the change in the number of regular budget posts in the Professional and higher categories subject to the system of desirable ranges, which stands now at 3,339 as of 30 June 2009). The staff member will maintain that status throughout his or her career, even if he or she subsequently is assigned to a non-geographical post.

43. The introduction of continuing appointments would therefore have no impact on the system of desirable ranges. For example, a staff member may be competitively recruited against a "non-geographical post". The staff member would be recruited under a fixed-term appointment. Subject to the staff member's completion of five years of continuous service and the satisfaction of the other

criteria for consideration for conversion to a continuing appointment, the staff member could receive a continuing appointment, but would maintain his or her "non-geographical appointment" status until he or she applies to and is competitively selected for a post designated as a "geographical post". It should be noted that the regular mobility and turnover of staff will continue to provide opportunities for recruitment of new staff to both bring new talent to the Organization and improve geographical and gender balance.

6. Options for ensuring candidates from competitive examinations not disadvantaged by proposed changes

44. In section II, paragraph 23 of resolution 63/250, the General Assembly reaffirmed that, while continuing appointments were not implemented, successful candidates from competitive examinations, including language staff, would continue to be granted open-ended appointments after two years of probationary service in accordance with the current practice.

45. Under the current practice, successful candidates from the national competitive examinations and language examinations are granted permanent appointments after two years of probationary service. Under the new contractual framework, these candidates will receive continuing appointments after two years on fixed-term appointments. This has been reflected in the provisional new staff rule 4.14 (b), which stipulates that "staff members recruited upon successful completion of a competitive examination pursuant to staff rule 4.16 shall be granted a continuing appointment after two years on fixed-term appointment, subject to satisfactory service" (see ST/SGB/2009/7).

46. Consequently, successful candidates from the national competitive examinations and language examinations will not be disadvantaged by the proposed implementation of continuing appointments. Successful candidates from the national competitive examinations and language examinations recruited on or before 30 June 2009 will be eligible for a permanent appointment. Successful candidates from the national competitive examinations and language examinations recruited on or after 1 July 2009 will be eligible for a continuing appointment.

IV. One-time review of staff eligible for consideration for conversion to permanent appointment as at 30 June 2009

47. In paragraph 12 of its resolution 63/271, the General Assembly requested the Secretary-General to report to it at its sixty-fourth session on the implications of converting all currently eligible staff to permanent appointments, including the financial impact and the effects on workforce management.

48. In order to protect the acquired rights of such staff members, the Secretary-General had proposed that when the staff rules were amended to replace permanent appointments with continuing appointments, a one-time review would be conducted of all fixed-term staff appointed under the previous 100 series of the Staff Rules who met the conditions of the old rule 104.12 (b) (iii). The Office of Legal Affairs confirmed that such a review would be necessary to observe the rights of those staff.

Conduct of the one-time review

49. Further to the General Assembly's approval of the contractual reform, the Secretary-General decided to proceed with the one-time review in order to resolve this long-standing question. A Secretary-General's bulletin was issued to that effect, setting forth the eligibility criteria for consideration and granting of the permanent appointment, and the procedures to be followed (ST/SGB/2009/10). Detailed guidelines have been developed and will be issued for departments and offices away from headquarters to ensure consistency in the process Secretariat-wide.

Impact of the one-time review

50. The Secretary-General has considered how the one-time review would respond to the request of the General Assembly in section II, paragraph 15 of resolution 63/250 to make efforts to achieve the level of 70 per cent of permanent appointments in posts subject to geographical distribution. The ceiling of 70 per cent, which is computed on the basis of the number of posts subject to geographical distribution, stands at 3,339 as of 30 June 2009. As of 30 June 2009, 1,433 staff members with geographical appointment status held a permanent appointment, representing 42.9 per cent of staff members in posts subject to geographical distribution.

51. Taking into account the number of staff members with geographical appointment status holding a 100-series fixed-term appointment who had completed five years of continuing service by 30 June 2009 and who were less than 53 years old when they reached five years of continuous service, the numbers of staff members with geographical appointment status holding a permanent appointment who retired on 30 June 2009 and the number of staff members with geographical appointment status holding a probationary appointment who completed two years of service as of 30 June 2009, it is estimated that the maximum number of staff members with geographical appointment status who could have a permanent appointment, based on their eligibility as of 30 June 2009, would be 2,169, or a maximum 65.0 per cent, therefore not reaching the 70 per cent ceiling.

52. The Secretary-General considers that the one-time review will not have any financial impact or effect on workforce management. The temporary increase in the number of staff members holding permanent appointments as a result of the one-time review will in effect be balanced by the increasing number of staff members holding permanent appointments who separate every year from the Organization (including voluntary separation, retirement and other reasons). It is estimated that the maximum number of staff members who could hold permanent appointments, irrespective of their appointment status, would be 10,634, representing less than 28.0 per cent of the overall staff population as at 30 June 2009. This number will progressively and continuously decrease to zero as permanent appointments are no longer granted under the new contractual framework.

V. Conclusion

53. The General Assembly also has before it a separate report (A/64/230) on the new provisional Staff Rules, which the Secretary-General issued on 1 July 2009 in accordance with staff regulation 12.2. Should the General Assembly approve the Secretary-General's proposals for the implementation of the continuing

appointment, the relevant rules (staff rules 4.14 and 4.16) would be amended to reflect any decision taken by the General Assembly during the main part of its sixty-fourth session on this issue, and the Staff Rules would be provisionally promulgated on 1 January 2010 to allow implementation of continuing appointments by that date.

54. The Secretary-General would report to the General Assembly on the above-mentioned amendments to the Staff Rules at the main part of its sixty-fifth session and the amended new Staff Rules would enter into full force effective 1 January 2011 in accordance with staff regulation 12.4.

55. **The General Assembly is requested to approve the implementation of continuing appointments as of 1 January 2010 under the conditions specified in the present report.**